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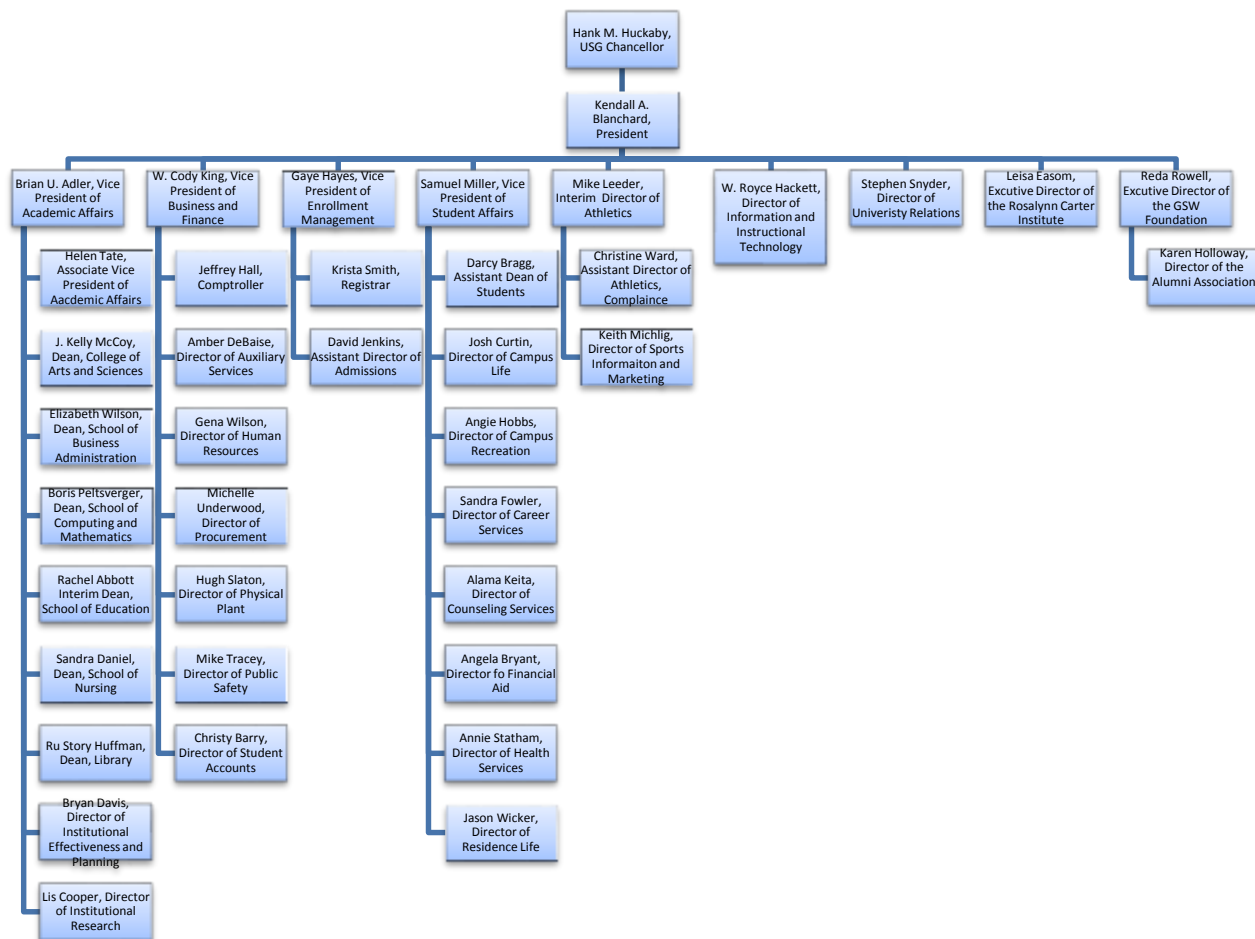
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## I. Faculty ORGANIZATION AND GOVERNANCE (Faculty Senate)

### Organizational Chart



### Georgia Southwestern State University Mission Statement

<sup>1</sup> Georgia Southwestern State University cultivates excellence in learning and teaching that encourages intellectual, personal, and social growth for students, faculty, staff, and the community. Georgia Southwestern State University is a comprehensive state university within the University System of Georgia that offers a full range of bachelor degree programs, along with selected master's and specialist degree programs.

<sup>1</sup> Approved by GSW faculty 04/30/10 and the Board of Regents 08/11/10

### Diversity Statement

Georgia Southwestern State University (GSW) embraces diversity as an integral part of being a caring community of lifelong learners. We are committed to building and maintaining a diverse, accessible, civil and supportive campus. GSW provides an environment and curriculum which affirms pluralism of beliefs and opinions, including diversity of religion, gender, ethnicity, race, sexual orientation, disability, age and socioeconomic class.

The University will implement and adhere to policies and procedures which discourage harassment and other behaviors that infringe upon the freedom and respect that every individual deserves.

### **Faculty and Administration Shared Governance**

Faculty members participate in policy making and policy decision for the University through the shared governance system. The Faculty Committees, as identified in the Statutes, conduct work of the Faculty. The Committees are responsible for study, investigation, and preparation of policy proposals and for forwarding policy recommendations through the Faculty Senate to the Faculty for approval.

Any employee or student may initiate a policy change by submitting a written proposal to the appropriate committee. The chair of each committee can assist an initiator in determining any proposal format required by his or her committee.

For the shared governance system to be effective, each individual faculty member must understand and have an interest in the accomplishments of the University and assume his or her professional responsibility to initiate action, to debate action, and to vote on action. This may be done as a member of a committee, the Senate or the faculty.

### **Faculty Meetings**

The faculty meets at least once each term. Special faculty meetings may be called by the President when deemed necessary. The minutes of the meeting are kept by a faculty secretary appointed by the faculty. A copy of the minutes of each faculty meeting will be supplied to faculty members.

### **Faculty Senate**

The purpose of the Faculty Senate shall be to constitute a body representative of the faculty, to advise the University on matters relative to the life of the University, and to facilitate the work of the faculty.

## II. FACULTY AFFAIRS (Committee on Faculty Affairs)

### The Corps of Instruction

Each instructor is responsible for the quality and content of instruction in the classroom. In the performance of instructional duties, the instructor should feel free to seek the advice and counsel of the academic dean or department chair.

The Corps of Instruction should be guided by the following objectives and considerations:

1. Provide the highest quality of classroom instruction toward the attainment of the goals of the University, the schools and departments, and the courses.
2. Combine scholarship and research in the faculty member's major field of interest and incorporate the latest research, knowledge and theory in classroom instruction.
3. Seek new and better devices, techniques, procedures, and methods which may improve the teaching and learning process.
4. Recognize individual needs of students and provide challenging learning opportunities for the gifted as well as the average learner.
5. Recognize and provide adequate academic advisement and inspiration through formal and informal conferences with students in order to supplement and improve the regular classroom instruction.
6. Develop efficient and equitable procedures for the evaluation of student academic performance and assign grades which reflect the achievement and progress of students enrolled in the courses.

The foregoing statements, together with other criteria which are generally accepted within the teaching profession, provide the basis for evaluating the performance of members of the Corps of Instruction.

### Graduate Faculty

<sup>1</sup>Graduate faculty are those members of the Corps of Instruction who hold the terminal degree in the teaching discipline or a related discipline or must hold a master's degree in the teaching discipline with a terminal degree in a related discipline. In specific cases, faculty who hold a master's degree in the teaching discipline and who have demonstrated exceptional scholarly or creative activity or professional experience may also be included in the graduate faculty. Designation as Graduate Faculty is reserved to faculty in academic units which offer graduate degree programs or provide an academic concentration for a graduate degree program offered by another unit.

Graduate faculty may be scheduled routinely to teach graduate courses in the discipline(s) for which they have been designated as holding graduate faculty status or to supervise the teaching of graduate courses by persons who do not hold graduate faculty status. Faculty who are not included in the graduate faculty may not be scheduled to teach graduate courses unless specifically authorized to do so by the Vice President for Academic Affairs.

To be elected to the Graduate Faculty a faculty member must be recommended, in specific disciplines, by that faculty member's academic dean, with concurrence by the Vice President for Academic Affairs. The Graduate Council will review the nomination and credentials and, if approved,

<sup>1</sup> Approved by GSW Faculty 4/30/08

nominate the recommended faculty member to the General Faculty for election. Election, by majority vote of the General Faculty, will be for a period of five years

Criteria on which recommendation for Graduate Faculty designation should be based are as follows:

1.
  - A. Holding the terminal degree in the teaching discipline or a related discipline, or
  - B. Holding a master's degree in the teaching discipline with a terminal degree in a related discipline, or
  - C. In specific cases, holding a master's degree in the teaching discipline and having demonstrated exceptional scholarly or creative activity or professional experience; and
2. Demonstrating exemplary competence in teaching and mentoring of students, including supervision of directed studies and coordination of special projects, service on thesis committees and assisting in the direction of masters' theses; and
3. Demonstrating exemplary competence in scholarship and professional activities, evidence by such activities as:
  - A. Documentation of research productivity;
  - B. Documentation of participation in professional organizations;
  - C. Significant contribution toward the development or revision of graduate courses and programs of the institution; and
  - D. Other scholarly and professional activities deemed worthy by the academic dean and the Vice President for Academic Affairs.

New faculty or current faculty with less than two years of full-time service at Georgia Southwestern may be granted provisional designation as Graduate Faculty on a year-to-year basis, but not for more than two years in total.

The roster of Graduate Faculty will be published appropriately by the institution in recognition of the accomplishment of its members. Graduate Faculty may also receive special stipends and professional development funds to support continuation of scholarly, professional, and teaching activities which promote and enhance the academic and service programs of the institution.

### **Faculty Work Load**

Full-time faculty workload shall be considered the equivalent of a forty-hour work week and shall consist of teaching load, office hours, service, and scholarship. In accordance with Regents Policy 301, the normal teaching load for faculty will be 12 semester credit hours per week for 1 tenure track personnel and 12 to 15 semester credit hours per week for lecturers and senior lecturers.

Variations to the requirement above are possible. Academic deans and department chairs responsible for scheduling courses and assigning faculty loads must insure that sufficient courses are scheduled to meet student needs and that faculty are assigned to staff those courses. Deans and chairs are also responsible for understanding the relationship of student loads and semester credit hours generated within the University System funding formula. With these factors in mind, academic deans and department chairs may adjust workloads as follows:

1. Faculty members who teach courses requiring laboratory or studio work may be assigned a course load based on 12 student contact hours per week.
2. Physical Education activity courses may be considered in the load for appropriate faculty on a 12 hour per week contact basis.
3. Nine semester credit hours of only graduate courses may be considered a full load.
4. Release time may be granted for professional activity such as:



- a. Administrative responsibilities
- b. Research
- c. Grant proposal writing
- d. Implementation of a funded grant
- e. Special assignments within a department, school or the University.

Department chairs are allowed one-fourth release time from teaching duties for department leadership and administration during the regular academic year.

Any variation from the assignment of a normal teaching load of 12 semester credit hours must be approved, in advance of implementation, by the Vice President for Academic Affairs.

<sup>1</sup> Approved by GSW Faculty on 12/03/10

### **Academic Advisement**

The student academic advisement program is under the direction of the Dean for Academic Services and Special Programs. Academic deans and department chairs and other designated faculty members have direct responsibility for providing the best possible information and advice to students enrolled in the programs of the University.

When students are enrolled in the University they are required to indicate the programs of study which they plan to pursue. On the basis of this information, students are assigned to faculty members who will serve as their official advisors.

If a student desires to make a change in his/her program of study, he/she must discuss the intentions with his/her faculty advisor. When a decision is reached as to which curriculum the student will pursue, the student must complete a "Curriculum/Advisor Change Form." This form may be secured from the Office of the Registrar or online at [http://www.gsw.edu/~aaf/student\\_forms/major\\_change.pdf](http://www.gsw.edu/~aaf/student_forms/major_change.pdf).

While advisors are especially adept in curriculum requirements in a specialized program, they are expected to be knowledgeable of general university requirements for graduation, including the core curriculum, foreign language requirements (in all B.A. and some B.S. programs), Board of Regents' Testing Program, physical education requirements, and the requirements for history and Constitution of Georgia and the United States. Particular reference is made to the scheduling of these requirements. Hardships often result when the requirements are not met at the appropriate intervals in the student's college career.

### **Faculty Evaluation**

The purpose of faculty evaluation is to provide regular feedback to faculty members regarding their performance so they can provide high quality service to the University. Regular evaluations provide an opportunity to assess strengths and weaknesses of faculty performance. There are three major components of the evaluation system for <sup>1</sup> for tenure track faculty-the annual evaluation, pre-tenure review, and post –tenure review. Lecturers and Senior Lecturers will be provided with an annual evaluation. A primary purpose for the evaluation system is the professional growth, development and progress of the individual faculty member. This insures that each member is an important part of the University's accomplishment of its goals and objectives.

<sup>1</sup> Approved by GSW Faculty 12/03/10

### **Annual Evaluation**

To insure each faculty member is aware of the expectation of his or her supervisor and is informed of his or her progress as a member of Georgia Southwestern State University faculty, each faculty member

will be evaluated on an annual basis. The annual evaluation serves as an evaluation of progress and a discussion of expectations. Achievement of objectives and goals of the individual and of the University will be a major part of the evaluation. The annual evaluations provide the foundation for developing recommendations for promotion, tenure, salary increases, termination, and other tangible or intangible rewards.

The department chairs, academic deans, and the Director of the Library are responsible for continuing development of the evaluation program and for insuring that annual evaluations are conducted. The following minimum requirements of the evaluation program may be supplemented to meet particular needs of the academic units.

1. The department or school faculty must be involved in administering the evaluation program.
2. The evaluation must emphasize excellence in teaching.
3. The evaluation must include student input. The faculty has adopted a campus wide instrument entitled "Student Opinionnaire" which is to be used for student input and must be used in a minimum of one-half of the courses taught by an individual instructor each year. The courses should be selected from a variety of the courses taught by each instructor.
4. The evaluation must include an evaluation of the faculty member's participation in academic advisement. The faculty has adopted (May 26, 1982) a procedure for this part of the evaluation and an instrument for use by department chairs and academic deans.
5. The written evaluation must include a listing of faculty development activities of the faculty member for the year and a listing of planned development activities for the upcoming year.
6. The written evaluation will be discussed by the faculty member's supervisor with the faculty member. The faculty member will sign the evaluation indicating that he or she is aware of its contents.
7. The faculty member will be given the opportunity to respond in writing to the annual evaluation and this response will be attached to the evaluation. The evaluator will acknowledge in writing his/her receipt of this response, noting changes, if any, in the annual evaluation made as a result of either the conference or the faculty member's written responses. This acknowledgment will also become a part of the record which is forwarded to the Vice President for Academic Affairs.
8. The annual evaluation summary must be written by the academic dean or department chair or Director of the Library and will address the specific criteria in the three broad areas of achievement listed below.

### **Criteria**

The broad areas of achievement for faculty are Teaching, Service to the Institution, and Scholarship, including academic achievement and professional development. <sup>1</sup>The level of performance will be determined by individual academic units based on criteria established by those units.

#### **1. TEACHING**

The faculty supports the Mission Statement of Georgia Southwestern State University, which emphasizes quality of instruction. Accordingly, quality teaching, including responsibilities that accompany it, is the primary criterion for annual evaluations. It is acknowledged that excellent teaching is a skill that should develop and improve as the individual faculty member grows in experience. Excellence in teaching must be encouraged, nurtured, rewarded, and helped.

## Measuring Quality Teaching

Objectively measuring the quality of teaching is a difficult task. For example, variables such as admission standards, motivation, and student expectations can complicate any attempt to measure teaching quality. The performance of individual teachers is affected by numerous factors including, but not limited to, physical environment, course loads, teaching assignments, class size, time spent on other faculty criteria for evaluation, and institutional support for creative endeavors. In addition, departmental/school variations influence measurement of teaching performance. Therefore it is not feasible to expect specific criteria to compare quality teaching across the campus. <sup>1</sup>Faculty appointed to positions in the Library should indicate how their service contributes to the teaching process.

Nonetheless, the faculty agrees that there are basics of quality teaching that should be included in the evaluation when appropriate. These basics for use with specific criteria set by individual departments and schools are:

- < exhibiting mastery of subject matter
- < being respectful to students, their differences, and their individual learning needs
- < using contemporary strategies and materials suitable to the needs of the students
- < being responsive to academic needs of individual students.

Further, evidence of quality teaching should be demonstratable in peer observations, student opinionnaires, and any additional material submitted from any source.

It is essential that individual faculty not be restricted by any generic criteria when demonstrating the quality of their teaching, so individual faculty members should be encouraged to supplement any evaluative instruments with other information. It should also be recognized that quality teaching is not limited to the confines of the classroom, but may be carried on in many other ways.

<sup>1</sup>Approved by GSW Faculty 5/1/2009

## 2. SCHOLARSHIP

Scholarship is not limited to publications or conference presentations but can include a number of professional activities where expertise in the discipline or in the area of professional education is utilized, demonstrated, or enhanced. The principal standards should always be quality, rather than quantity, and consistency with the teaching mission of the University.

Because Georgia Southwestern State University is primarily dedicated to excellence in teaching, the University recognizes that the principal foundation of teaching is a sustained commitment to scholarship and the serious practice of disciplinary expertise. A creative process of inquiry and exploration, scholarship is comprised of four categories that are *equally* valued at the University. While these categories often overlap, an individual's scholarship may be concentrated in one of the categories defined herein. As elucidated in *Scholarship Reconsidered: Priorities of the Professoriate* (Boyer, 1990), *Scholarship Reassessed* (Glassick, Huber, Maeroff, 1997), and other works promulgated by the Carnegie Foundation for the Advancement of Teaching and its president Lee Shulman, these categories include the scholarship of discovery, the scholarship of integration, the scholarship of application, and the scholarship of teaching.

### ***The scholarship of discovery***

Such scholarship includes the discovery of new knowledge or insights in or between disciplines and the generation of new theories and techniques guiding discovery. Tangible evidence of such endeavors include:

- Conference presentations and posters; articles and books, especially those that are peer-reviewed or invited; postings to peer-reviewed, professionally affiliated Websites and electronic databases; the creation of peer-reviewed, research-oriented Websites
- Generation of creative products, including recitals, compositions, exhibitions, contests, performances, patents, novels, short stories, translations, or other peer-reviewed activities, as appropriate to each discipline.
- Professional awards and recognition for such efforts.

<sup>1</sup>Approved by GSW Faculty 5/1/2009

### ***The scholarship of integration***

Such scholarship includes the acquisition of knowledge through synthesis within or across disciplines or the development of pedagogical innovations that facilitate the dissemination of knowledge. It is interpretive, integrative, and/or interdisciplinary, fits isolated knowledge to larger contexts, illuminates data in a revealing way, or educates non-specialists. Examples of such endeavors include:

- The creation, and peer-review, of textbooks, video and multi-media classroom materials, or pedagogical software applications.
- The development of distance-learning classes and Web-Ct courses.
- The publication in print or electronic format of peer-reviewed works of synthesis conveying or summarizing knowledge for non-specialists.
- Conference participation as a panelist, discussant, or session chair.
- Participation as a panelist or speaker in campus colloquia and open seminars.
- Service as a referee for articles, extended reviews, editorial boards.
- Professional awards and recognition for such efforts.

### ***The scholarship of application***

Such scholarship includes the acquisition of knowledge through practice and the responsible application of knowledge to the solution of problems. Examples of such scholarship include:

- Service activities that flow directly from one's special field of knowledge where new intellectual understandings may result from the very act of application. Such activities can include medical diagnosis, service to clients in psychotherapy, the shaping of public policy, the creation of an architectural design, work with public schools, "workshopping" with public school teachers, and service as a consultant.
- Giving workshops to train other faculty members in a certain method or approach.
- Submission of and/or participation in grants, fellowship programs, or other externally funded support for scholarship activities.
- The award of institutional support for scholarship efforts.

- Attendance and/or assumption of leadership roles in discipline-related organizations.
- Achievement or maintenance of professional certification or licensure pertinent to teaching area or professional education.
- Continuation of practical experiences outside of the University pertinent to teaching duties, such as professional work with schools and/or outside entities.
- Participation in professionally organized, discipline-based field excursions.
- Professional awards and recognition for such efforts.

### ***The scholarship of teaching***

Such scholarship recognizes the critical importance to faculty of the reflective, systematic, replicable, and public examination of their teaching practices and of how students learn. Examples of such endeavors include:

- Peer-reviewed publications, presentations at professional conferences, or being a speaker at an invited talk related to pedagogy in one's area.
- Participation in formal course work beyond the terminal degree, special courses, and/or workshops to improve upon or acquire professional competencies in content-pedagogy, including emerging technologies.
- Writing extended reviews of recent books and/or articles in the content-pedagogy of your discipline, either for peer-reviewed publication or internal review as tangible evidence of remaining abreast of the successful instructional strategies of one's discipline.
- The creation and implementation of an innovative, original course with content-specific goals and a method for external assessment.
- The creation and/or implementation in a course of an innovative pedagogical approach whose outcome is publicly documented.
- Professional awards and recognition for such efforts.

### **3. SERVICE TO THE INSTITUTION**

Most service activities are oriented to the needs of the University but may also address needs of the community at large. Examples of the ways faculty members provide service to the institution may include, but are not limited to, the following:

- a. Renders conscientious and effective academic advisement and/or career counseling <sup>1</sup>with the exception of Library faculty
- b. Develops and/or participates in recruitment activities
- c. Participates in professional activities, such as consulting, clinical work, and providing technical assistance in ways that reflect favorably on the University
- d. Performs notable work collaboratively or individually with a University committee, group, project, etc. including organization of campus programs and preparation of special reports and other accreditation documents
- e. Cooperates in out-of-the-ordinary undertakings like off-campus courses, night courses, honors courses, Saturday activities, parents' receptions, etc.

- f. Supports campus activities by working with clubs, attending campus events, participating in student functions, etc.
- g. Brings outside funds to the institution, such as grants or contracts
- h. Participates in community activities that render service to community, further the mission of the University, or reflect favorably on the University (community should not be construed in narrow geographic terms).

## **<sup>2</sup>Academic Freedom**

The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his or her other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

The teacher is entitled to freedom in the classroom in discussing the subject, but he or she should be careful not to introduce into the teachings controversial matter which has no relation to the subject.

The university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When speaking or writing as a citizen, he or she should be free from institutional censorship or discipline, but the university teacher's special position in the community imposes obligations. As a person of learning and an educational officer, he or she should remember that the public may judge the profession and the institution by his or her utterances. Hence, the university teacher should at all times be accurate, should exercise appropriate restraints, and should make every effort to indicate that he or she is not an institutional spokesperson.

A faculty member who believes he or she has been deprived of academic freedom by any member of the faculty or administration and has exhausted all informal means of resolving the difficulty may, in writing, file a grievance as provided in Section II, Article H of the Faculty Handbook. (University Statutes, Article III, Section 8)

Faculty members should assure unimpeded intellectual diversity in their classes and avoid even the appearance that students who disagree with their views will in any way be subject to prejudiced academic evaluation. Student complaints to this effect will be addressed through the Academic Grievance Policy as stated below. If warranted, the faculty member may be subject to disciplinary action administered according to due process through the Office of Academic Affairs.

<sup>1</sup>Approved by GSW Faculty 5/1/2009

<sup>2</sup>Approved by GSW Faculty 4/30/2008

## **STATEMENT ON ACADEMIC RIGHTS AND RESPONSIBILITIES**

American Council on Education

Adopted by the Board of Regents

Intellectual pluralism and academic freedom are central principles of American higher education. Recently, these issues have captured the attention of the media, political leaders and those in the academy. This is not the first time in the nation's history that these issues have become public controversies, but the current interest in intellectual discourse on campus suggests that the meaning of these terms, and the rights and responsibilities of individual members of the campus community, should be reiterated.

Without question, academic freedom and intellectual pluralism are complex topics with multiple dimensions that affect both students and faculty. Moreover, America's colleges and universities vary enormously, making it impossible to create a single definition or set of standards that will work equally well for all fields of academic study and all institutions in all circumstances. Individual campuses must give

meaning and definition to these concepts within the context of disciplinary standards and institutional mission.

Despite the difficulty of prescribing a universal definition, we believe that there are some central, overarching principles that are widely shared within the academic community and deserve to be stated affirmatively as a basis for discussion of these issues on campuses and elsewhere.

- American higher education is characterized by a great diversity of institutions, each with its own mission and purpose. This diversity is a central feature and strength of our colleges and universities and must be valued and protected. The particular purpose of each school, as defined by the institution itself, should set the tone for the academic activities undertaken on campus.
- ☐Colleges and universities should welcome intellectual pluralism and the free exchange of ideas. Such a commitment will inevitably encourage debate over complex and difficult issues about which individuals will disagree. Such discussions should be held in an environment characterized by openness, tolerance and civility.
- ☐Academic decisions including grades should be based solely on considerations that are intellectually relevant to the subject matter under consideration. Neither students nor faculty should be disadvantaged or evaluated on the basis of their political opinions. Any member of the campus community who believes he or she has been treated unfairly on academic matters must have access to a clear institutional process by which his or her grievance can be addressed.
- ☐The validity of academic ideas, theories, arguments and views should be measured against the intellectual standards of relevant academic and professional disciplines. Application of these intellectual standards does not mean that all ideas have equal merit. The responsibility to judge the merits of competing academic ideas rests with colleges and universities and is determined by reference to the standards of the academic profession as established by the community of scholars at each institution.
- ☐Government's recognition and respect for the independence of colleges and universities is essential for academic and intellectual excellence. Because colleges and universities have great discretion and autonomy over academic affairs, they have a particular obligation to ensure that academic freedom is protected for all members of the campus community and that academic decisions are based on intellectual standards consistent with the mission of each institution.

## **Grievance Procedures for Faculty and Staff**

### **1. Definition**

All regular employees or any group of regular employees may file a grievance under this procedure for any action or inaction by an employee of Georgia Southwestern State University that they believe is unfair, discriminatory, or improperly reached due to conditions of employment and perceived as unjust or inequitable or when they believe a mistake has been made in the administration, application, development, or interpretation of a rule, plan or policy.

### **2. Purpose**

Conflicts sometime arise in the relationship between the University, as an employer, and its employees. Both the employee with a grievance and the University benefit when the University responds to grievances promptly and fairly. The grievance procedure at Georgia Southwestern State University consists of three parts:

- a) Informal Grievance Procedure
- b) Alternative Dispute Resolution (Mediation)
- c) Formal Grievance Procedure

### 3. **Policy**

All employees shall receive fair and equitable treatment. These procedures apply to all employee grievances which arise while employed at Georgia Southwestern State University. Employee grievances will be resolved promptly and fairly.

An aggrieved employee should first seek resolution with his/her immediate supervisor or a first line manager consistent with our philosophy of resolving disputes at the lowest possible level in the organization. If the problem originates with the supervisor, then the employee will have the option of bypassing this step and filing an informal or, if necessary, formal grievance as outlined below.

This institution does not support any punitive or retaliatory action against an employee for any reason. Any such action taken against an employee for seeking redress under these procedures will not be tolerated. Violation of this rule is grounds for dismissal.

### 4. **Informal Grievance**

The employee first seeks to resolve the grievance with the immediate supervisor or a first line manager consistent with our philosophy of resolving disputes at the lowest possible level in the organization. These discussions should be conducted in private. If the grievance involves the immediate supervisor, the employee shall have the option of having a discussion in private, and/or shall be given an opportunity to have another employee present as a witness. If the grievance remains unresolved, the employee may then seek to resolve the grievance at each level of supervision up to and including the department head/department chair/dean/vice president.

If the grievance is not resolved or if circumstances of the grievance prevent the employee from using the above mentioned steps, the employee may represent the grievance to the Human Resources Director.

The Human Resources Director shall investigate and counsel with the employee, the supervisor, and the department head/department chair/dean/vice president in an attempt to resolve the grievance.

### 5. **Mediation Procedure**

If all reasonable informal efforts to resolve the complaint fail, the aggrieved employee is encouraged to choose the mediation process before filing a formal grievance.

Mediation is an informal process that involves a neutral third party who will assist in resolving the dispute. The objective of this process is to come to an agreement that is fair and meets the needs of the parties involved. This process is confidential and private and is conducted in a private setting.

Mediation does not waive the rights of any aggrieved party to seek resolution of his/her grievance through formal avenues. Mediation is a cost effective, voluntary, fast and efficient way to resolve grievances; it thus encourages reaching a mutually acceptable resolution.

### 6. **Steps for Mediation**

- a) The parties in dispute jointly choose one mediator from a panel. The panel of mediators is located in the Office of Human Resources.
- b) The mediator will set up a time for the employees to meet. This meeting will take place within five (5) working/class days after the mediator is chosen.



- c) At the time of the meeting, the mediator will assist the two parties in finding a mutually agreeable and fair solution to the conflict. The mediator may offer suggestions, but cannot impose a solution.
- d) If the employee is not satisfied with the outcome of mediation, he or she can file a formal grievance.

**7. Formal Grievance Procedure**

If a grievance is not resolved by informal appeals or mediation as outlined above, then faculty or staff employees may pursue resolution of the grievance under a Formal Grievance Procedure. The following procedures will be in place to provide the framework and process to resolve formal grievances:

a) Establishment of Grievance Panel

The Grievance Panel shall provide a means to hear the complaints of university employees who have exhausted normal channels but who have not received satisfaction in the resolution of a grievance by the informal process and/or mediation.

There will be 15 members of the Grievance Panel elected by the employees. The Human Resources Department will administer this election on an annual basis. The 10 employees receiving the most votes will be permanent members of the Grievance panel. The next five will be alternate members. The members of the Grievance Panel will be elected within the first two weeks of the Fall term for a calendar year. The newly elected members will meet within two weeks following the election. At this meeting, the Chair of the Grievance Panel, who also serves as Chair of each Review Board, will be elected by the ten (10) member panel.

b) Eligibility of Service of Grievance Panel

With the exception of the President, all regular employees with at least 1 academic year (nine months) of continuous service at Georgia Southwestern State University are potential Grievance Panel members. Employees' names shall be removed from the pool if:

- (1) employment terminates.
- (2) an employee is a grievant.
- (3) an employee is named or otherwise directly involved in the grievance.

c) Procedures for Requesting Review Board Hearing

The grievant shall file a written request for a hearing with the Chair of the Review Board as soon as possible stating the following:

- (1) The facts of the complaint, including the date, time, and place the act occurred and other pertinent facts verified by the grievant. Disputes involving tenure and salary are not considered by a Review Board except if the basis of the grievance is alleged discrimination based on gender, age, race, disability, or religious affiliation.
- (2) The names of possible witnesses.
- (3) A description of the evidence which tends to support the complaint.

The Chair within three (3) working days from the filing of the application of the grievant, shall determine whether the nature of the grievance is one which may be properly heard by a Review Board.

- If so, the Chair will instruct the parties as to the procedures to be followed in selecting the members of the Review Board and in conducting the hearing (See section d) below).
- If not, the Chair will so notify. The grievant may then request a decision of the full Board of nine members. If the Board, by simple majority, upholds the original decision of the Chair, the grievant and President will be notified and reasons given. If the Board agrees to hear the grievance, the process continues as follows:
- Within ten (10) working days following receipt of a grievance, the Chair will have a Review Board constructed as provided in Section d).

d) Selection of Review Board Members

Each Review Board shall consist of the Chair (nonvoting) and five (5) voting members chosen from a panel of nine (9), constituted as set forth in Section a) above. Upon notification of the names of the Grievance Panel members, each party shall in the presence of the Chair strike the names of two (2) persons from the Grievance Panel. The parties shall alternate in exercising their strikes, beginning with the grievant, until five (5) members remain. The five (5) members shall constitute the Review Board who will hear the grievance. It is anticipated that this "striking" process will be completed within five (5) working days following the decision by the Chair to review the case.

e) Excusing Review Board Members

Grievance Panel members who are drawn as possible Review Board members may be excused if a majority of the 15 member Grievance Panel determines that:

- (1) there is a bona fide conflict of interest between the Review Board members and either of the parties of the grievance;
- (2) the potential Review Board member is ill;
- (3) or service on the Review Board should be excused for good cause shown.

f) Removal of Review Board Members for Cause

A party may present a request, in writing, at least three (3) working days in advance of any hearing, to the Chair, to remove any member of the Review Board for reasonable cause. If the Chair grants the request, he or she shall fill the vacancy from the alternate five members. The member chosen to fill the vacancy may likewise be removed for reasonable cause. The Chair may, on his or her own motion, remove any member for reasonable cause stated.

g) Notice to Parties and Review Board of Hearing

After the Review Board (five members) has been selected as described in Section d) above, written notice of the time and date set for the hearing shall be hand delivered or mailed to the parties and to the members of the Review Board by the Chair. This notice will be delivered no less than ten (10) working days before the scheduled date of the hearing.

h) Duties of the Chair

The Chair of each Review Board shall not vote but shall be responsible for the conduct of the hearing and implementation of the grievance procedures. The Chair's duties include the following:

- (1) Assuring that all parties are familiar with the grievance procedures.
- (2) Reviewing the grievance and determining that:
  - (a) It is one which is properly heard by a Review Board. (If not, the grievant shall be so notified in writing.)
  - (b) It has been filed in accordance with Section c).

Within five (5) working days following receipt of a written grievance, the Grievance Panel of ten (10) persons as potential members of the Review Board are notified that the selection of the Review Board will be conducted.

If it is determined that there is a conflict of interest for the Chair on a specific grievance, the Chair will be removed from the process and the President of the University will appoint an Interim Chair for the Grievance Panel to facilitate the process.

i) Hearing Procedure

The hearing before the Review Board shall be conducted in a private setting and remain confidential. The parties have the right to select one (1) person to attend as an observer. Attorneys are not authorized to participate in grievance hearings. The grievant may select an advisor (Georgia Southwestern State University employee) to assist at the hearing, and the advisor may participate in the hearing. A tape recording or transcript of the proceedings shall be kept within a secured area in the GSW Human Resources Department and will be available to the parties at a reasonable cost.

The parties and their advisors shall have the right to cross examine witnesses against them. Should a witness be unable to appear because of illness or other cause acceptable to the Chair, the sworn statement or affidavit of the witness may be introduced into the record. An affirmation shall be administered to all witnesses by a notary public. The Review Board will not be bound by strict rules of legal evidence. It may receive any evidence deemed by the Chair to be of value in determining the issues involved. The Review Board shall state its finding in writing that shall be based on the evidence introduced at the hearing. The Chair will report the findings in writing to the President. The confidentiality of the hearing shall be preserved.

j) Review Board Findings

The findings and confidential recommendations, if any, made by the Review Board to the President shall be advisory only. The President will render a final decision within 10 working days of receiving the Review Board's recommendation. The President reserves the right to return the grievance to the Review Board for further consideration. The President's final decision may be appealed to the Board of Regents by requesting a hearing with the Board of Regents. The request for a hearing is sent to the Board of Regents, Office of Legal Affairs.

k) Time Limits

The time limits described in this formal grievance procedure may be waived or extended with the consent of both parties or the President of the University.

Revised June 2000

## **Affirmative Action**

The current Georgia Southwestern State University Affirmative Action Plan is available in the James Earl Carter Library, each academic school and department office, Human Resources Office, and the Affirmative Action Office. Georgia Southwestern State University employees are encouraged to examine and recommend constructive modifications of the plan.

In addition, each employee should be acquainted with the *Classified Personnel Policy Manual* and *The Policies of the Board of Regents*.

## **USG Background Check Policy**

- All successful internal candidates (current employees) for positions at GSW or any USG institution will be subject to a background check.
- Background checks will include both state and Federal criminal history checks covering a minimum of seven years, social security number check, and credentials/education checks for all professional and academic positions.
- All resident assistants (RA's) will be subject to a background check.
- Any employee (including student workers) who is charged with a crime (other than a minor traffic offense) must report it to his or her supervisor within 72 hours of becoming aware of the charge. Failure to report being charged with a crime may result in appropriate disciplinary action, including termination of employment.

## **Faculty Personnel Files**

Files are maintained on each faculty member in the Human Resources Office and by each person in the chain of supervision of the faculty member - department chair, academic dean, Vice President for Academic Affairs and President. Information filed in each office is listed in the material which follows. Some information is required, and other information is filed at the discretion of the person responsible for that file or the faculty member whose file it is. All files must be maintained in accordance with the Georgia Open Records Law, which means, among other things, that each faculty member may request in writing to review any or all of his or her files.

The official faculty personnel files are those maintained by the administrators mentioned above and only administrators in the chain of supervision of an individual faculty member maintain personnel files for that faculty member. Information pertaining to a faculty member that is available to any other person on campus is not to be considered in personnel actions unless that information is transmitted in writing, at or near the time such information is collected, to an administrator who is responsible for faculty personnel files. The term "personnel action" includes initial appointments to the faculty, tenure, promotion, leave of absence, assignment of additional duty, new appointments, change of title, contract renewal, non-renewal, reprimand, and termination. Faculty members must be notified in writing that any documents related to them have been transmitted.

General guidelines used to determine the location of each item of information are as follows:

1. The documentation of initiated action is filed at the appropriate level nearest the faculty member. For example, a recommendation for or against tenure is filed by the department chair.
2. The final record of action taken is filed at the highest level in the chain of supervision. For example, a recommendation to the Board of Regents for tenure is on file in the Office of the President.

3. Records common to all faculty members are filed in the Human Resources Office. The only exception to this rule is the Annual Evaluation, which is kept in the faculty member's departmental file and the file in the Office of Academic Affairs.

Since information filed at the discretion of an administrator has the potential of being used as documentation for personnel action, the faculty member must be informed when such information is filed. The administrator who files discretionary material must record, by either memorandum, letter or notation on the material, that the faculty member was notified within ten working days of the time that the information was filed. Faculty members have the right to add a response to any such discretionary material if they so choose, but they must request in writing to review any such material before drafting a response. Responses should be filed within ten working days of the time the faculty member receives the material for review. Furthermore, a faculty member has the right to request that discretionary materials be added to their file. If an administrator has not notified the faculty member that a meeting summary or a copy of correspondence has been included in their file within two weeks of the meeting or sending of the correspondence, the faculty member may request in writing that the discretionary material be included. Such a request must be fulfilled within ten working days of receipt of the request.

The following lists the location where each document should reside regardless of whether it is required or discretionary.

**Human Resources Office** (There are no discretionary files kept by the Human Resources Office)

1. Security questionnaire/loyalty oath
2. Confirmation of personnel actions approved on campus
3. Record of sick leave
4. Finance/pay records (W-4, immigration papers, payroll deductions, etc.)
5. Insurance records

A complete list of all required documents for Human Resources can be found on the GSW website at [http://www.gsw.edu/~hr/NewEmployeeOnlineOrientation/welcome\\_to\\_gsw\\_march\\_2008.shtml](http://www.gsw.edu/~hr/NewEmployeeOnlineOrientation/welcome_to_gsw_march_2008.shtml).

\*\*\*Note that the previous policy stipulated that the Human Resources Office held all annual evaluations (original copies).

**President's Office**

**Required**

1. Contracts
2. Recommendation of personnel action directed to or from the President
3. Record of personnel action decisions

**Discretionary**

1. Summary of conference with faculty member
2. Correspondence with faculty member
3. Correspondence related to faculty member

**Office of the Vice President for Academic Affairs**

**Required**

1. Initial offer of appointment to the faculty member
2. Confirmation letter accepting offer of employment
3. Revised curriculum vita which includes employment at GSW

4. Faculty Information Data Form
5. Copy of certification or license, if applicable
6. Transcripts confirming all degrees earned
7. Evaluation of graduate work completed to verify that accreditation (SACS, NLN, NCATE, etc.) criteria have been met
8. Recommendations of personnel actions directed to or from the Vice President for Academic Affairs
9. Confirmation of Board approval of personnel action

#### **Discretionary**

1. Summary of conferences with faculty member
2. Correspondence with faculty member
3. Correspondence related to faculty member

#### **Academic Dean**

##### **Required**

1. Recommendations of personnel action directed to or from academic dean
2. In case faculty member is a department chair, all filing requirements under "department chair"
3. In case school is not organized into departments, all filing requirements of department chair

#### **Discretionary**

1. Summary of conference with faculty member
2. Correspondence with faculty member
3. Correspondence related to faculty member

#### **Department Chair/Coordinator**

##### **Required**

1. Summary of student opinionnaires
2. All annual evaluations (original copies)
3. Documentation used in preparation of annual evaluation
4. Summary of third-year conference on progress toward tenure
5. Letters of commendation
6. Letters of complaint with faculty response
7. Recommendations of personnel action
8. Record of absence

#### **Discretionary**

1. Summary of conferences with faculty member
2. Correspondence with faculty member
3. Correspondence related to faculty member

### **<sup>1</sup>Faculty Handbook Revisions Policy**

Proposed revisions or amendments to, or deletions from the Faculty Handbook of Georgia Southwestern State University shall be made by the faculty committee that has oversight of specific areas of faculty activity, as follows;

- The Faculty Senate Section I on Organization and Governance
- The Faculty Affairs Committee Section II on Faculty Affairs, Section III on Promotion and Tenure, and Section IV on Faculty Welfare.
- The Committee on Academic Affairs Section VI on Academic Affairs Policies, and Section VIII on Comprehensive Program Review
- The Committee on Business and Finance Section VIII on Business and Physical Plant Policies
- The Institutional Review Board Section IX on Institutional Review Board Policies and Procedures.

If it is not clear which committee should consider a proposal it should be submitted to Faculty Affairs, who will forward it, if necessary, to the appropriate committee.

All amendments or changes that originate in faculty committees must be forwarded to the Faculty Senate. All amendments or changes must be approved by a two-thirds vote of the faculty at a general faculty meeting at which a quorum is present. These guidelines do not apply to Section IX the Appendices that contain only information, such as calendars and committee assignments, which change as a matter of course.

<sup>1</sup> Approved by GSW Faculty 4/27/2012

## <sup>2</sup>Lecturer Faculty

Lecturers and Senior Lecturers are full time faculty members of the Corps of Instruction. Pursuant to Board of Regents policies, Lecturers are Non-Tenure Track professional personnel hired to provide special instructional functions such as basic skills instruction. In general, courses taught will be at the undergraduate level and determined by the academic unit. However, exceptional lecturers with terminal degrees may apply for graduate faculty status with the permission of their departmental chair and appropriate dean if there is a programmatic need.

<sup>2</sup>(Approved by GSW Faculty 12/05/2014)

The following is the Board of Regents policy concerning reappointment of lecturers and is the policy of Georgia Southwestern State University:

Reappointment of a lecturer who has completed six (6) consecutive years of service to an institution will be permitted only if the lecturer has demonstrated exceptional teaching ability and extraordinary value to the institution. (BOR Policy manual 8.3.1)

The following is the Board of Regents policy concerning dismissal of lecturers and senior lecturers and is the policy of Georgia Southwestern State University:

Full-time lecturers and senior lecturers are appointed by institutions on a year-to-year basis. Lecturers and senior lecturers who have served full-time for the entire previous academic year have the presumption of reappointment for the subsequent academic year unless notified in writing to the contrary as follows;

1. For lecturers with less than three (3) years of full-time service, institutions are encouraged to provide non-reappointment notice as early as possible, but no specific notice is required.
2. For lecturers with three (3) or more years but less than six (6) years of full-time service, institutions must provide non-reappointment notice at least thirty (30) calendar days prior to the institution's first day of classes in the semester.
3. For senior lecturers or lecturers with six (6) years or more of full-time service, institutions must provide non-reappointment notice at least one hundred and eight (180) calendar days prior to the institution's first day of classes in the semester.

Lecturers or Senior Lecturers who have served for six (6) or more years of full-time service at an institution and who have received timely notice of non-reappointment shall be entitled to a review of the decision in accordance with published procedures developed by the institution. The procedures must be approved by the Chancellor or his/her designee prior to implementation. Additional appeal procedures are contained in Section VII of the Bylaws of the Board of Regents of the University System of Georgia.

In no case will the service as lecturer or senior lecturer imply any claim upon tenure or reappointment under other conditions than those above. (BOR Policy manual 8.3.4.3)

The following is the Board of Regents policy concerning non-tenure track professional personnel and is the policy of Georgia Southwestern State University:

1. Individuals employed in non-tenure track positions shall not be eligible for consideration for the award of tenure.
2. Probationary credit toward tenure shall not be awarded for service in non-tenure track positions, except for lecturers and senior lecturers.
3. Notice of intention not to renew contracts of non-tenure track personnel who have been awarded academic rank (Instructor, Assistant Professor, Associate Professor, Professor) shall follow the schedule required for tenure track personnel. This schedule of notification shall not apply to other professional personnel.
4. Individuals employed in non-tenure track positions may apply on an equal basis with other candidates for tenure track positions which may become available.

The transfer of individuals from tenure-track positions to non-tenure track positions shall be effected on a voluntary basis only (BOR Minutes, 1982-83, pp 255-256). (BOR Policy Manual 8.3.8)

<sup>1</sup>Approved by GSW Faculty 12/03/10

## **Faculty Offices**

Insofar as possible, faculty offices are assigned in the general area of the school or department office and the area where the instructor teaches by the academic dean. Office assignments and telephone numbers are listed in the campus directory for faculty and staff.

## **Faculty Absences**

Faculty members are expected to meet every class as scheduled by the department chair or academic dean and to participate in academic advising of students. Any faculty member who must miss a scheduled class should have that absence approved in advance by his/her department chair or academic dean whenever possible. Faculty members should avoid being absent from class for personal reasons.

Absences from class should be reported on the official absence report form available in department and school offices and on the GSW website at <http://www.gsw.edu/~hr/forms/adminprofleaveform.pdf>. See sick leave policy on page 57, Section IV.B.

## **Faculty Released Time for Professional Development**

Faculty members may be approved for a reduced teaching load in order to conduct professional activity such as research or upgrading skills by taking course work which will enhance the faculty member's ability to teach at Georgia Southwestern State University. A reduced load is possible only when the needs of the class schedule can be met by other means.



A faculty member who wishes to teach a reduced load during any given term should request the reduction in writing at least two terms prior to that for which the reduced load is being requested. A memorandum should be addressed to the department chair or academic dean describing in detail the project for the term, the benefits to the faculty member or to the University of the project, and the method and date for reporting the completion of the project. If the department chair or academic dean can meet the demands of students and the schedule without a full load being taught by the faculty member, the dean/chair should address an endorsement of approval for the request to the Vice President for Academic Affairs. This endorsement should include a description of the method the dean/chair will use to staff the department or school's needs without the services of the faculty member requesting a reduced load. Final approval of released time may be granted only by the Vice President for Academic Affairs.

## Faculty Searches

All searches for faculty positions must follow the guidelines published by Human Resources. Candidates being interviewed on campus for positions are required to teach a class or give a presentation as part of the interview process. (4.8.1.4)

## Part-Time Faculty

- Part-time faculty are under the direct supervision of the Chair of the department in which they are hired.
- The Chair is responsible for providing to each part-time faculty member an appropriate orientation to university policies and procedures.
- Part-time faculty should receive an annual evaluation as part of the annual evaluation process.
- Part-time faculty must provide students with a means of contacting them and with hours during which they will be available for contact in person, by phone, or by email. (4.8.3.5 and 6)

## Teaching Assistants

**The Teaching Assistant:** A teaching assistant is a registered graduate student in full-time residence and serving an apprenticeship under the active tutelage and supervision of a regular faculty member.

**Workload:** Teaching Assistant workloads are intended to allow TA's to fulfill their academic obligations. TA's employed half-time (.50 FTE) are expected to devote 20 hours per week to TA duties during instructional and examination periods. These hours include all time spent in preparation, classroom and laboratory teaching, office consultation, and reading student papers.

**Duties:** A teaching assistant is not responsible for the instructional content of a course, for selection of student assignments, for planning of examinations, or for determining the term grade for students. Neither is the TA to be assigned responsibility for instructing the entire enrollment of a course or for providing the entire instruction of a group of students enrolled in a course.

The teaching assistant is responsible only for the conduct of recitation, laboratory or quiz sections under the active direction and supervision of a regular member of the faculty to whom final responsibility for the course's entire instruction, including the performance of his [or her] teaching assistants, has been assigned.

**Supervision and Review:** The selection, supervision and training of all student teachers is an important responsibility of the school, and in particular of the coordinator of the graduate program. All candidates for appointment and re-appointment should be subjected to careful review and recommendation, either by the school as a whole or by a responsible committee.

**Eligibility:** When appointed, the TA must have a minimum G.P.A. of 3.00 and must be a registered, full-

time student in good standing throughout the period of appointment.

## Faculty Development Grants

Based on the recommendations of the Faculty Affairs Committee, a budget has been established in the Office of the Vice President for Academic Affairs to award grants for individual faculty development. The Vice President will receive the proposals and pass them to the Faculty Affairs Committee. All proposals will be reviewed by the Committee. The chair of the Committee will compile the results of the review process and submit the results to the Vice President, who will be responsible for final decisions on funding.

To facilitate the review process, the proposals submitted should use the "Faculty Development Grant Proposal" form found in the Appendix, including a Budget and Project Description describing how the project will benefit the University. The evaluation criteria given below should be addressed in this section.

Administrators at all levels and the faculty share a common concern that opportunities for and in support of faculty development be high priority at the University. The emphasis of the program should be individual development broadly defined. A few examples of the many possible projects are

1. Research projects
2. Organizing professional meetings and seminars
3. Academic service to the community
4. Productive participation in professional meetings
5. Faculty development time (released time)

The following guidelines have been proposed by the Faculty Affairs Committee:

1. To insure wide distribution of funds, funding is limited to two grants per fiscal year. While the faculty member's enthusiasm should not be limited, first-time applicants will take priority over those requesting a second research grant in the same fiscal year.
2. These funds should be reserved for use when departmental, school, and outside funds are not available.
3. Innovative and original research which is related to a faculty member's teaching discipline is encouraged and supported within reason of available funds. Funds may be used to pay student help, buy small items of specialized equipment, provide copies of hard-to-find literature sources, or cover travel to field sites, libraries, or other such facilities.
4. To encourage growth and professional stature, travel grants will be funded when possible to any recognized professional activity in which the faculty member is a **productive** participant (i.e., an organizer, speaker, society officer, etc.). Travel funds are limited to 80% of the estimated cost, the remainder to be borne by the faculty member as evidence of his/her sincere interest in this activity. Passive participation (i.e., as a member of the audience), while encouraged, is not under the faculty development grant program.
5. To assure the wise administration of these funds, a short summary of the funded activity must be sent to the Vice President for Academic Affairs after completion. Failure to submit a summary will result in not funding future proposals.
6. All changes in the Faculty Development Grants guidelines must be approved by a majority of the faculty at a faculty meeting.

The criteria for the evaluation of proposals by the Faculty Affairs Committee are as follows:

1. General Procedure
  - a. All Faculty Affairs Committee members will read the proposals.
  - b. Score each proposal on a basis of 1-10.
  - c. Recommend percentage funding for each proposal.
  - d. Faculty Affairs Committee members with applications in review will not vote on their own proposals.
  - e. The budget allocated for Faculty Development Grants will be provided to the Committee at the beginning of each fiscal year by the Office of the Vice President for Academic Affairs.
  - f. The Office of the Vice President for Academic Affairs will notify the Committee in writing of the names and amounts of awards. A brief statement will accompany this notification explaining the rationale for award amounts differing from those recommended by the Committee.
  - g. The Committee will provide each applicant denied funding a brief statement explaining the rationale for denial.
2. General Guidelines
  - a. Review original guidelines on file with proposals.
  - b. Must demonstrate all other funding sources exhausted (department, school, outside grants, etc.)
  - c. Results of any previous Faculty Development Grants must be on file with the Vice President for Academic Affairs.
3. Criteria for Travel Expenses to Meetings
  - a. Meeting sponsored by recognized professional society or of demonstrated significance.
  - b. Meeting should be pertinent to applicant's teaching or research field.
  - c. Funding is restricted to applicants who are actively participating in meetings (organizer, officer, speaker, etc.).
  - d. Includes a detailed budget with brief, itemized justification.
4. Criteria for Attendance at Short Courses

Relevant to applicant's teaching and/or research or to departmental goals, i.e., learning for new course offerings or course expansion.
5. Criteria for Research Proposals

- a. Literature search demonstrates project is original.
- b. Significance or importance of project is demonstrated.
- c. Applicant proposes a practical, manageable plan.
- d. Includes a detailed budget with brief, itemized justification.

For example:

Travel to field site (100 miles round trip, three trips)	\$60.00
Secretarial help (typing final report)	\$50.00

6. Criteria for Funding

a. Conference Presentations & Productive Participation

- National & International \$700
- Southeast \$500
- State \$300
- Local \$100

The Faculty Affairs Committee shall interpret the appropriate funding level to be that which provides the highest level of funding possible based on the location of the conference and the nature of the conference. This limit does not override the aforementioned 80% of total cost limit on travel funds. The Faculty Affairs Committee is allowed to make judgments concerning the definition of "Southeast" but the norm shall be conferences in Tennessee, South Carolina, Alabama, Georgia, and Northern Florida are within the "Southeast". Examples:

-an international or national conference taking place within the state of Georgia shall have a maximum funding award of \$700

-a Mid-West regional conference shall have a maximum funding award of \$700

-a California state conference shall have a maximum funding award of \$700

-a regional conference located in South Carolina shall have a maximum funding award of \$500

-a state conference located in Athens, Georgia shall have a maximum funding award of \$300

b. Research

- \$700

In case of faculty development time in lieu of teaching, the following guidelines have been established and approved by the faculty:

1. It is imperative that faculty understand that development time does not automatically accrue but will be obtained only after submission and approval of a suitable project. Additionally, faculty must understand that the general needs of the institution or their respective department will be taken into account prior to granting individual development time.
2. To apply for faculty development time in lieu of teaching, a faculty member must submit a written proposal for a specific activity which will aid his/her development as a professional and/or an educator.
3. A faculty member may apply for faculty development time in lieu of teaching load typically not to exceed one three or four hour course per academic year, nor three such courses in a three-year period.
4. Applications should be submitted through the department chair/academic dean for endorsement to the Vice President for Academic Affairs who, in turn, will solicit the recommendation of the Faculty Affairs Committee. The Committee will examine the proposal's professional merit and other pertinent information and make recommendations to the Vice President to aid in his/her decision. When necessary, the Committee will solicit the advice of specialists in the area of the proposal. The Vice President, however, will make the final decision as to whether the proposal is approved.
5. The Vice President enlists the cooperation of academic deans and department chairs in scheduling classes such that time for approved faculty development projects may be made available.

### **<sup>1</sup>Faculty Instructional Grants**

The Faculty Instructional Grant (FIG) will provide funding for exceptional one-time purchases of long-term use instructional resources. The Vice President of Academic Affairs (VPAA) will receive proposals for FIGs from faculty and deliver copies of the proposals to the Faculty Affairs committee; The VPAA will inform the Committee of the funding level available for the FIGs. The Committee will review all proposals and submit recommendations to the VPAA concerning approval and funding levels for all proposals. The

VPAA is responsible for final decisions and notification of approved grants. The deadline for proposals, reimbursement of approved grants and implementation of grants will be set at the discretion of the VPAA. Procedures regarding verification of implementation of grants will be set at the discretion of the VPAA. The following guidelines apply to the approval of FIG proposals;

1. Funding for the expenses in the proposal must be unavailable through normal GSW or outside funding sources, including the procedures in Section IV(S) of the Faculty Handbook.
2. FIGs may not be used for funding of proposals where funding would be available through Faculty Development Grants. This includes but is not limited to travel expenses, faculty research, training seminars, and small academic supply purchases allowed under Faculty Development Grants.
3. Faculty members are limited to one FIG per academic year.
4. The format and required information contained in FIG proposals will be established by and amended at the discretion of the Faculty Affairs Committee.

<sup>1</sup>Approved by GSW Faculty 04/29/11

### **Family Members in the Workplace**

While the University encourages faculty and staff families to take advantage of opportunities on the campus, it is emphasized that university employees do not allow family members to visit them on a regular or prolonged basis while in the workplace. It is expected that university personnel will make the necessary arrangements for child care.

Students should not bring children to campus on a regular or prolonged basis. While the University encourages students and their families to take advantage of opportunities on campus, the University cannot insure the safety of children. Children must not be in classrooms, laboratories, instructional support areas or student life areas except in the context of programs conducted specifically for children. The university campus is not an appropriate environment for children

## **SECTION III. PROMOTION AND TENURE (Committee on Faculty Affairs)**

### **Pre-Promotion Review**

The purpose of pre-promotion review is to assist in the development of excellent faculty who may qualify for promotion. It is intended that the pre-promotion review will help the faculty member understand what she or he has accomplished and what he or she must accomplish in order to receive favorable consideration for promotion. The pre-promotion review does not produce a decision regarding promotion but should produce a plan that would give the faculty member the best possible chance for favorable consideration for promotion. The pre-promotion review process should provide guidance to faculty members concerning the likelihood of presenting a successful application for promotion.<sup>1</sup>Lecturers as well as tenure track faculty will be eligible for pre-promotion review.

<sup>1</sup> Approved by GSW Faculty 12/03/10

### **Schedule**

A faculty member who is nearing eligibility for promotion should request a pre-promotion review from their immediate supervisor during the year before they expect to apply. The review process must be initiated during the fall term of the year in which the review is conducted and should be finalized at the same time as the annual evaluation of the faculty member during that year.

### **Responsibilities**

Once requested, the academic unit head (department chair, academic dean, or Director of Library Services) is responsible for insuring that the pre-promotion review occurs on schedule and is responsible for the written summary of the review. The unit head should include peer input prior to the final summary of the review.

### **Procedure**

The following steps will insure that pre-promotion review is conducted in an orderly fashion and in a manner that will be most helpful to the development of the faculty member being reviewed and to the needs of the University.

1. During the fall term of the year in which pre-promotion review will occur, the academic unit head should request in writing to the faculty member that a dossier be prepared that will include the following:
  - a. Accomplishments relating to the criteria in the three broad areas of achievement in the section of this handbook entitled "Faculty Evaluation."
  - b. A current curriculum vita.
  - c. A listing of development activities in which the faculty member has participated.
  - d. A plan for future development activities.

All materials should relate to the mission of the University, to the mission of the academic unit, and to the achievement of excellence in teaching at the University.

2. The academic unit head will prepare a written summary of peer input to include in the dossier for consideration in the pre-promotion review.
3. The academic unit head will schedule a conference with the faculty member and discuss contributions made as of the date of the conference and develop a plan for future accomplishments that will enhance the ability of the faculty member to achieve promotion.
4. The conference must be summarized by the academic unit head in writing and presented to the faculty member who must acknowledge by signature having read the summary. The faculty member may then provide in writing any additional information he or she wishes to include in the record. The written comments of the faculty member will be attached to the written summary.

5. The written summary must include any steps that the academic unit head feels are necessary for the faculty number to complete in order to be considered for promotion.
6. A copy of the final written summary and any attachments must be forwarded through the academic dean to the Vice President for Academic Affairs where the documents will be permanently filed.

## Promotion

Promotion presents an opportunity to encourage, recognize, and promote excellence in the performance and accomplishments of faculty members. The progression of its faculty through the ranks serves as a measure of the excellence of the University.

### <sup>2</sup>Probationary Credit Towards Promotion

At the time of an individual's initial appointment, a maximum of three years of probationary credit towards promotion may be awarded for service at other institutions or service in a faculty rank within the institution. In extraordinary cases, research and comprehensive universities may award more than three years of probationary credit at initial faculty appointments. Such awards require approval by the president and written notification to the USG Chief Academic Officer. Individuals serving in part-time, temporary, or limited term positions are not eligible for probationary credit towards promotion. Without the approval of the President, faculty given probationary credit towards promotion may not use their years of credit towards consideration for early promotion.

<sup>2</sup>(BOR Academic and Student Affairs Handbook, 4.5.1)

## Promotion Criteria for Tenure Track Faculty

Faculty will be considered for promotion according to the following criteria:

1. <sup>3</sup> Faculty are eligible for and may be reviewed for promotion in rank during their fifth year of service in their current rank. If recommended for promotion, the new rank will go into effect at the beginning of their next contract period. Recommendations for promotion are not normally considered for individuals who are currently on leaves of absence.

Under special circumstances, faculty who are performing significantly above the expectations for their current rank may be considered for "early" promotion. At state universities and state colleges, "early" promotion may only be considered according to the following time table:

- For early promotion from Instructor to Assistant Professor, faculty must have served a minimum of three years as an instructor.
- For early promotion from Assistant Professor to Associate Professor, faculty must have served a minimum of four years as an Assistant Professor.
- For early promotion from Associate Professor to Full Professor, faculty must have served a minimum of four years as an Associate Professor.

At research and comprehensive universities, faculty may be considered for "early" promotion with less than the required minimum years of service in rank listed above. However, these cases require strong justification and approval by the president.

<sup>3</sup> (BOR Policy 8.3.6-Approved by BOR 07/29/2014)

2. <sup>4</sup> Areas of Achievement: All faculty members must excel in the Teaching area of achievement and in one of the other two areas — Scholarship or Service to the Institution. The faculty member must document satisfactory performance in the third area. <sup>1</sup>Individual academic units will establish criteria



for annual evaluation which will be used for promotion. Annual evaluations for each year of service will be considered.

3. While the cumulative record will be considered, it is required that accomplishments be significant in each rank before progressing to the next higher rank.
4. Length of service in the University shall be considered in promotions; however, longevity of service will not guarantee promotion.

<sup>4</sup> Approved by GSW Faculty 12/03/10

#### <sup>5</sup> **Promotion Criteria for Lecturers**

1. Rank: Lecturers who have served six years within the University may for promotion to Senior Lecturer. Candidates for Senior Lecturer do not require the terminal degree for their discipline.
2. Areas of Achievement: All Lecturers must document excellence in the Teaching area of achievement to be promoted to Senior Lecturer. The faculty member must also document excellence in one of two other areas of their choice<sup>6</sup> for promotion-Scholarship or Service to the Institution. Individual academic units will establish clear criteria for annual evaluation which will be used for consideration of promotion. Academic unit annual evaluations will presume the pursuit of excellence in Teaching plus excellence in one of the other areas of achievement, but will not penalize extra activity in the third area of achievement. Annual evaluations for each year of service will be considered for the purposes of promotion.
3. The cumulative record for the three areas of achievement will be considered. Years of service spent focused on excellence in the Area of Scholarship will be taken into consideration if the lecturer switches to focusing on excellence in the Area of Service as the basis of meeting the criteria for promotion. Years of service spent focused on excellence in the Area of Service will be taken into consideration if the lecturer switches to focusing on excellence in the Area of Scholarship as the basis of meeting the criteria for promotion.
4. For early promotion from Lecturer to Senior Lecturer, faculty must have served a minimum of three years as a Lecturer.

<sup>5</sup> Approved by GSW Faculty 12/03/10

<sup>6</sup> Approved by GSW Faculty 12/05/2015

#### **Pre-Tenure Review**

The purpose of pre-tenure review is to assist in the development of excellent faculty who may qualify for tenure. It is intended that the pre-tenure review will help the faculty member understand what she or he has accomplished and what he or she must accomplish in order to receive favorable consideration for tenure. The pre-tenure review does not produce a decision regarding tenure but should produce a plan that would give the faculty member the best possible chance for favorable consideration for tenure. The pre-tenure review process should provide guidance to faculty members concerning the likelihood of presenting a successful application for tenure.

<sup>1</sup>Approved by GSW Faculty 5/1/2009

## **Responsibilities**

The academic unit head (department chair, academic dean, or Director of Library Services) is responsible for insuring that the pre-tenure review occurs on schedule and is responsible for the written summary of the review. The unit head should include peer input prior to the final summary of the review.

## **Schedule**

A tenure track faculty member who was granted probationary credit toward tenure upon appointment should be provided a pre-tenure review during the first year of appointment. All other tenure track faculty must be provided a pre-tenure review during the third year of appointment. The review process must be initiated during the fall term of the year in which the review is conducted and should be finalized at the same time as the annual evaluation of the faculty member during that year.

## **Procedure**

The following steps will insure that pre-tenure review is conducted in an orderly fashion and in a manner that will be most helpful to the development of the faculty member being reviewed and to the needs of the University.

1. During the fall term of the year in which pre-tenure review will occur, the academic unit head should request in writing from the faculty member that a dossier be prepared that will include the following:
  - a. Accomplishments relating to the criteria in the three broad areas of achievement in the section of this handbook entitled "Faculty Evaluation."
  - b. A current curriculum vita.
  - c. A listing of development activities in which the faculty member has participated.
  - d. A plan for future development activities.

All materials should relate to the mission of the University, to the mission of the academic unit, and to the achievement of excellence in teaching at the University. Faculty appointed to positions in the Library should indicate how their service contributes to the teaching process.

2. The academic unit head will prepare a written summary of peer input to include in the dossier for consideration in the pre-tenure review.
3. The academic unit head will schedule a conference with the faculty member and discuss contributions made as of the date of the conference and develop a plan for future accomplishments that will enhance the ability of the faculty member to achieve tenure.
4. The conference must be summarized by the academic unit head in writing and presented to the faculty member who must acknowledge by signature having read the summary. The faculty member may then provide in writing any additional information he or she wishes to include in the record. The written comments of the faculty member will be attached to the written summary.
5. The written summary must include any steps that the academic unit head feels are necessary for the faculty member to complete in order to be considered for tenure.
6. A copy of the final written summary and any attachments must be forwarded through the academic dean to the Vice President for Academic Affairs where the documents will be permanently filed.

## **Tenure**

The University affirms the importance of tenure in providing the highest quality system of higher education. Tenure is a part of the rich tradition of our nation's leading institutions and serves many functions that undergird the democratic society of which we are a part.

Academic tenure is a status that is granted to university faculty after they serve a probationary period in the profession. It protects them from dismissal except for a financial exigency, for program modification, or for cause as specified in Board policy; cause for dismissal must be determined by a formal hearing process. The purpose of tenure is to assure faculty members' academic freedom and protection against improper restrictions of the freedom of inquiry as it may occur in teaching, scholarship, research, and creative activities. It also protects the right to publish or otherwise present scholarly work publicly without the threat of political or other confining orthodoxies. Academic freedom and tenure sustain and support the transmission and advancement of knowledge and understanding, which stand central in the mission of colleges and universities.

Those who hold the status of tenure also bear responsibilities associated with that status. Those who are tenured should engage in continuous professional growth and be vital and contributing members of the faculty of which they are a part. Tenured faculty members also have a responsibility to facilitate, support, defend, and preserve an environment of academic integrity.

Tenure protection provides considerable freedom for the faculty member to conduct classes and express views in the class that may be controversial. However, it also carries the responsibility that information presented in class be accurate and that the viewpoints presented by a faculty member bear a reasonable relationship to the expertise of the faculty member.

With respect to expression beyond the classroom, faculty members should not be or feel bound by the institution in their speech. The faculty member should, however, be aware that members of the sponsoring society might judge them and other faculty members by their speech. Faculty members should exercise their responsibility by being accurate, exercising restraint, respecting the opinions of others, and making an effort to indicate that they are not speaking for the institution.

The following is the tenure policy of the Board of Regents as stated in the Policy Manual. It is the tenure policy for Georgia Southwestern State University.

1. The requirements listed below shall be the minimum standard for award of tenure, but they are to be sufficiently flexible to permit an institution to make individual adjustments to its own peculiar problems or circumstances. These policies are to be considered a statement of general requirements which are capable of application throughout the System and are not a limitation upon any additional standards and requirements which a particular institution may wish to adopt for its own improvement. Such additional standards and requirements, which must be consistent with the Regents' policies and approved by the Board of Regents, shall be incorporated into the statutes of an institution. (BOR Policy Manual 803.9 A.)
2. Tenure resides at the institutional level. Institutional responsibility for employment of a tenured individual is to the extent of continued employment on a one hundred percent workload basis for two out of every three consecutive academic terms until retirement, dismissal for cause, or release because of financial exigency or program modification as determined by the Board.
3. Normally, only assistant professors, associate professors, and professors who are employed full-time (as defined by Regents' policies) by an institution are eligible for tenure. Faculty members with adjunct appointments shall not acquire tenure. The award of tenure is limited to the above academic ranks and shall not be construed to include honorific appointments. (BOR Policy Manual 803.9 C.)

The term "full-time" is used in these tenure regulations to denote service on a 100% work load basis for at least two out of three consecutive academic terms. (BOR Policy Manual 803.9 C.)

4. Tenure may be applied for at the beginning of the fifth year of the five-year probationary period of full-time service at the rank of assistant professor or higher. The five-year period must be continuous except that a maximum of two years interruption because of a leave of absence or part-time service may be permitted, provided, however that an award of credit for the probationary period of an interruption shall be

at the discretion of the President. In all cases in which a leave of absence, approved by the President, is based on birth or adoption of a child, or serious disability or prolonged illness of the employee or immediate family member, the five-year probationary period may be suspended during the leave of absence. A maximum of three years' credit toward the minimum probationary period may be allowed for service in tenure track positions at other institutions or for full-time service at the rank of instructor or lecturer at the same institution. Such credit for prior service shall be approved in writing by the president at the time of the initial appointment at the rank of assistant professor or higher. Notwithstanding anything to the contrary in this Policy Manual, in exceptional cases an institution president may approve an outstanding distinguished senior faculty member for the award of tenure upon the faculty member's initial appointment; such action is otherwise referred to as tenure upon appointment. Each such recommendation shall be granted only in cases in which the faculty member, at a minimum, is appointed as an associate or full professor, was already tenured at a prior institution, and brings a demonstrably national reputation to the institution (BR Minutes, 1983-84, p. 94; May, 1996, p. 52; April 2000, pp. 31-32). If the person is being appointed to an administrative position and has not previously held tenure, the award of tenure must be approved by the Chancellor. (BOR Policy Manual 803.9 D.)

<sup>1</sup>Approved by GSW Faculty 5/1/2009

5. Except for the approved suspension of the probationary period due to a leave of absence, the maximum time that may be served at the rank of assistant professor or above without the award of tenure shall be seven years, provided, however, that a terminal contract for an eighth year may be proffered if a recommendation for tenure is not approved by the president. The maximum time that may be served in combination of full-time instructional appointments (instructor or professorial ranks) without the award of tenure shall be 10 years, provided, however, that a terminal contract for the 11th year may be proffered if a recommendation for tenure is not approved by the president (BR Minutes, 1992 - 93, p. 188; April 2000, pp. 31-32). (BOR Policy Manual 803.9 F.)
6. Except for the approved suspension of the probationary period due to a leave of absence, the maximum period of time that may be served at the rank of full-time instructor shall be seven years (BR Minutes, April 2000, pp. 31-32). (BOR Policy Manual 803.9 G.)
7. Tenure or probationary credit towards tenure is lost upon resignation from an institution, or written resignation from a tenured position in order to take a non-tenured position, or written resignation from a position for which probationary credit toward tenure is given in order to take a position for which no probationary credit is given. In the event such an individual is again employed as a candidate for tenure, probationary credit for the prior service may be awarded in the same manner as for service at another institution.
8. Upon approval of the award of tenure to an individual by the president, that individual shall be notified in writing by the president of his/her institution, with a copy of the notification forwarded to the University System chief academic officer. (BOR Policy Manual 803.9 I.)

### **Tenure Criteria**

After fulfilling the probationary period, a faculty member may be considered for the award of tenure according to the following criteria.

1. A faculty member whose primary responsibility is teaching must excel in the Teaching area of achievement and a least one of the other two areas – Scholarship or Service to the Institution. <sup>1</sup> The faculty member must document satisfactory performance in the third area. Specific criteria for each broad area of achievement are found in the previous section under “Annual Evaluation.”
2. A faculty member's expertise must be compatible with the mission of the University and the academic

unit in which tenure will be awarded.

<sup>1</sup>Approved by GSW Faculty 5/1/2009

## **Promotion and Tenure Procedures**

The procedure for promotion or tenure must allow the process to be completed in time for the recommendation to the University to reach the Office of the Board of Regents by the required deadline. Therefore, applications for promotion or tenure must be submitted by the date determined by the Vice President for Academic Affairs, generally in early fall. Faculty members who are seeking promotion or tenure should seek the advice of experienced faculty to help develop an accurate application. Deans and chairpersons are expected to provide advice and assistance in this process. Pre-promotion and pre-tenure reviews should be made available to respective faculty members by deans and chairpersons.

### **Eligibility**

It is the responsibility of each individual faculty member to keep his or her file complete, to provide the academic unit head with all information relevant to the criteria for promotion and tenure, and to be aware of eligibility at all times through periodic (at least annual) discussion with the academic unit head. If, at any time, a faculty member has a question about eligibility, he or she should schedule a conference with the Vice President for Academic Affairs to discuss this matter. If, after the conference, the faculty member is not clearly eligible according to policies, he or she may file a formal written request with supporting data to the Vice President for Academic Affairs that he or she be declared eligible. The Vice President will review the data and render a decision with copies to the academic dean and to the President. The faculty member must make the request in sufficient time to be considered with all other school faculty. Being declared eligible for tenure or promotion does not insure that a faculty member will be tenured or promoted.

### **Procedure**

Academic deans, academic department heads, and the Dean of Library must insure faculty input into the process of screening eligible candidates for promotion and tenure. While each unit should determine the extent of faculty involvement, a peer review committee will review credentials and make recommendations to the unit head at each level. Faculty should be informed of the members of the review committee at each level. The following mandatory steps in the Promotion and Tenure process will insure an orderly process.

1. The faculty member, with the assistance of the academic unit head, will prepare a dossier for the faculty member's consideration for promotion and tenure. The dossier must include the following:
  - a. A cover sheet as prescribed by the Vice President for Academic Affairs.
  - b. Clear documentation of teaching excellence to include student evaluations and results of classroom observations.
  - c. A summary of specific accomplishments in each of the broad areas of achievement indicated in the criteria for promotion, tenure and evaluations.
  - d. A current curriculum vita.
  - e. A summary of annual evaluations.
  - f. A record of participation in development activities.
  - g. Any other information which the faculty member wishes to have reviewed in the process.
2. Faculty of each department or school will establish a peer review committee. The dossier will be reviewed by the department peer review committee. In schools where departments do not exist, the first review will be by a school-wide review committee.
3. The departmental peer review committee will make a written recommendation to the department head

clearly for approval or clearly for disapproval.

4. The department head will review the complete dossier and the recommendation of the departmental review committee and make a written recommendation to the academic dean for appropriate action. The dossier of each faculty member initially considered will be forwarded to the academic dean whether or not the recommendation is for approval.
5. The dossier, along with departmental peer review committee recommendations and department head recommendations, will be reviewed by a school peer review committee appointed by the dean of each school. In the case of the Library, the Dean of Library Services will appoint the peer review committee.
6. The school peer review will consider all dossiers forwarded and make a written recommendation to the respective academic deans (or Dean of Library Services) insuring that there is clearly a recommendation to approve or a recommendation to disapprove.
7. The academic deans and the Director of the Library Services will consider all dossiers and all previous recommendations for their respective units and make a recommendation to the Vice President for Academic Affairs. All dossiers will be forwarded to the Vice President for Academic Affairs whether or not the recommendation at any level is for approval or not.
8. The Vice President for Academic Affairs will present all dossiers to the Institution-wide Committee on Promotion and Tenure for review. The Institution-wide Committee will be composed of tenured faculty preferably of professor rank, elected to two-year terms by the faculty of each school. There will be two members from the school of Arts and Sciences and one from each of the other schools.
9. The Institution-wide Committee will make a written recommendation to the Vice President for Academic Affairs for approval or disapproval of each case under consideration.
10. The Vice President for Academic Affairs will review all dossiers and the recommendations from each level and make a recommendation to the President on each case being considered, whether the recommendation is for approval or non-approval.
11. The President will consider all dossiers and recommendations at each level before making a decision to approve or disapprove.
12. After each step in the review process, the appropriate committee chair or unit head must inform each applicant reviewed whether or not the faculty member has been recommended. An applicant will receive a copy of the recommendations at each level of review and be given the opportunity to respond or withdraw the application.
13. Any faculty member who is aggrieved concerning promotion or tenure may appeal by the following procedure.
  - a. Write a letter to the academic dean appealing the action and stating that the letter is an appeal that the individual wishes to be considered without prejudice. Also, he or she should specifically identify the matters to be considered and why. This should be submitted within ten days after announcement of the promotion or tenure recommendations forwarded to the Board of Regents by the President.
  - b. Provide with the letter the material referred to in paragraph 1. immediately above.
  - c. The academic dean may write a letter of endorsement, may write a letter of explanation, or may pass it to the Vice President for Academic Affairs without comment.
  - d. The appeal will be referred by the Vice President to an Institution-wide Committee on Promotion

and Tenure Appeals for consideration. The appeals committee shall be appointed by the President.

- e. The Vice President will consider the appeal, comments of the academic dean, and the recommendation of the Institution-wide Committee in making a recommendation to the President.
- f. The President will consider all the materials mentioned in paragraph e. above in making a decision. The President's decision will be final for this institution. The President will notify the candidate of his/her actions with copies to the Vice President for Academic Affairs and academic dean.
- g. If the faculty member is not satisfied with this decision, he or she may appeal to the Board of Regents in accordance with the Policies of the Board of Regents.

## **Post-Tenure Review**

### **Purpose**

The purpose of post-tenure review is to examine, recognize, and enhance the performance of tenured faculty members at the University and to improve the quality of the University. The review process will focus upon career development by identifying opportunities for faculty to reach their full potential in service to the University.

### **Relationship to Present Reviews**

The University presently provides several reviews of faculty performance after faculty members are awarded tenure. These include the annual performance review, review for promotion to higher professorial ranks after receipt of tenure, plus review of faculty for special professorships and special faculty awards. The post-tenure review procedures established by this policy are designed to provide a longer term perspective than is usually provided by the annual review. Post-tenure review provides both retrospective and prospective reviews of performance, taking into account that a faculty member probably will have different emphases at different points in his or her career.

### **Coverage**

All tenured faculty members whose primary responsibility is teaching will be reviewed periodically. Ordinarily this review should begin five years after the granting of tenure and continue at five-year intervals. A faculty member who is on leave during the year he or she would ordinarily be reviewed would be reviewed the year after returning from a leave-of-absence. The post-tenure review may be combined with other reviews that already take place, such as promotion for higher ranks after receipt of tenure, reviews of faculty for special professorships, and reviews for special faculty awards. If another review is as comprehensive as the post-tenure review, that review may substitute for post-tenure review. When the review for other matters is not so comprehensive as that required for post-tenure review, the materials prepared for the other review may be used in the post-tenure review with additional materials provided as necessary. In the case of tenured faculty members whose primary assignment is administration without major teaching responsibilities, that faculty member shall be subject to the evaluation procedures for senior-level administrators. When that person returns to a position where the major responsibility is teaching, he or she will be subject to post-tenure review, with the first review to take place no later than five years after returning to the faculty position. Librarians who do not hold administrative positions will be reviewed on the same schedule as a faculty member whose major responsibility is teaching.

### **Responsibility for Review**

The post-tenure review will be conducted by a committee of faculty peers with the composition determined by the academic unit head. The committee should be composed of at least three tenured

faculty members, all of whom must be able to render a fair and objective assessment of the faculty member.

### **Criteria for Review**

The post-tenure review will be based on the same criteria in the three broad areas of achievement listed in the faculty handbook in the section entitled Faculty Evaluations. However, emphasis should be placed on increased productivity during the period covered by the review. In case of faculty whose primary responsibility is teaching, special emphasis should be placed on activities to improve teaching performance during the period covered by the review.

Documentation of the performance of the faculty member being reviewed must include the following:

1. An up-to-date curriculum vita or resume.
2. Copies of the faculty member's annual evaluations for the years covered by the review.
3. For faculty whose major responsibility is teaching, a summary of written student evaluations, peer observations, and unit head observations with special emphasis on teaching effectiveness during the period of the review. Other faculty should prepare a written summary of accomplishments relating to the other broad areas of achievement.
4. A summary prepared by the faculty member of his or her accomplishments for the period under review.
5. Projected goals of the faculty member for the next five year period and development plans to insure reaching those goals.
6. Other documentation specified by the academic unit head.

The faculty member and the academic unit head are responsible for developing this documentation and providing it to the post-tenure review committee. The faculty member shall have access at any time to the review file. The faculty member shall also have the right to add material including statements and additional documents at any time during the review process.

### **Requirements for Review**

The committee conducting the review must provide informed and candid feedback in its report on the quality of the faculty member's performance, accomplishments, and contributions. The committee may also offer guidance on improving performance.

In any review in which the committee finds that the overall level of performance is unsatisfactory because of major, severe, or chronic deficiencies, the committee shall indicate that the performance is unsatisfactory and identify the reasons why the performance is unsatisfactory.

The committee must provide a written summary of its findings and any recommendations for faculty development to the head of the faculty member's administrative unit. The unit head is responsible for transmitting this written summary to the faculty member and discussing its contents with the faculty member. The unit head must sign the document indicating that he or she has discussed it with the faculty member. The faculty member must sign the report indicating that he or she has received the document and discussed it with the unit head. In cases where the faculty member being reviewed is a department head, the responsibilities of the unit head in the post-tenure review will be exercised by the academic dean. The faculty member may prepare a written response to the report of the review committee. A copy of the committee's report and any written response to it by the evaluated faculty member will then be sent to the administrative head at least one level above the faculty member's administrative unit. The same



material should also be placed in the faculty member's personnel file at the administrative unit level. The administrative unit head shall also preserve in the faculty member's personnel file all documents that played a substantive part in the review other than documents (such as publications) that are readily available elsewhere.

### **Faculty Development**

Following post tenure review and based on the recommendation of the review committee, the unit head and the faculty member will prepare a plan for continued development of the faculty member.

### **Unsatisfactory Performance**

In cases where faculty members have been identified in the post-tenure review as having an unsatisfactory performance, the academic unit head, in consultation with the faculty member, must establish a formal plan of development. A formal plan includes identifying appropriate sources of faculty development, whether they be located on campus, on other campuses of the University System, or in other locations. The plan for faculty development should a) define specific goals or outcomes that the plan is designed to achieve, b) outline the activities that can be undertaken to achieve the goals or outcomes, c) set appropriate times within which the goals or outcomes should be accomplished, and d) indicate appropriate criteria by which the faculty member should monitor progress. The faculty member's administrative unit head is responsible for forwarding the formal faculty development plan resulting from a post-tenure review to the appropriate administrative office at least one level above the faculty member's unit. The unit head and the administrative officer at least one level above the faculty member's administrative unit are jointly responsible for arranging for appropriate funding for the development plans, if required. At the time of each annual review, the administrative unit head will meet with each faculty member whose post-tenure review concluded that performance was unsatisfactory to review progress toward achieving the goals of a formal faculty development plan. A progress report will be included in the annual review.

It is the responsibility of the unit head and a peer-review committee to determine if, after a period of three years, a faculty member whose performance was deemed unsatisfactory in the post-tenure review has been successful, through the development plan, in changing the unsatisfactory performance. The unit head must report that finding to the appropriate administrative office at the next level. The appropriate dean and the Vice President for Academic affairs will determine what options are available. One option is dismissal for cause under Board of Regents Policy 803.09K2.

### **Other Provisions**

- a. Academic unit heads must maintain a record of reviews completed, including the names of all members of review committees.
- b. At the end of each academic year, each unit head must forward to the Vice President for Academic Affairs a report listing the names of faculty members reviewed during the academic year and listing the names of the review committee for each faculty member reviewed.

### **Appeal**

A faculty member who disagrees with the results of a post-tenure review, including the plan for faculty development, shall have the right to appeal through administrative channels.

## IV Faculty Welfare (Committee on Faculty Affairs)

### Payroll Payments

Payroll payments are made by direct deposit or a PayCard. If you do not have direct deposit or a PayCard, checks will be mailed to employees using the address provided through Human Resource's employee self-serve website. For information regarding payroll options, contact the payroll supervisor in Accounting Services. Faculty and other exempt employees are paid once per month, distributed on the last working day of the month. If a payday falls on a holiday, checks will normally be distributed the preceding day.

Employee payroll checks may be deposited by direct deposit, available with local or out-of-town banks. For additional information, contact Human Resources.

Employee personal checks may be cashed to a maximum of \$50.00 per day at the Cashier's Window, Business Office in the Marshall Student Center.

### Holiday, Sick Leave and Miscellaneous Leave Policy

**Holiday.** Georgia Southwestern observes 12 official holidays each year. A schedule of holidays is published each year by the Human Resources Department. A terminating employee will not be paid for any official holidays occurring after the last working day of their employment.

**Sick Leave.** Regular full-time employees shall accrue sick leave at the rate of one working day per calendar month of service. Regular part-time employees working one-half time or more accumulate sick leave in an equivalent ratio to their percentage of time employed. Sick leave for employees shall be cumulative. Full-time faculty members during the academic year who are teaching summer term classes are entitled to additional sick leave accrual. The additional amount earned will be based on the number of course hours taught during summer term. Contact Human Resources or the Payroll Department if you have any questions regarding the rate of accrual.

Employees may utilize accrued sick leave for the following reasons:

- Illness or injury of the employee.
- Medical and dental treatment or consultation.
- Quarantine due to a contagious illness in the employee's household.
- Illness, injury, or death in the employee's immediate family requiring the employee's presence. "Immediate Family" is defined as: mother, father, husband, wife, son, daughter, brother, sister, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law and grandparents.

The death of a family member can be a very difficult and emotional time, therefore Georgia Southwestern supports the need for time away from work. In the event of a death in an employee's immediate family, regular full-time and regular part-time employees may take up to three days sick leave, if needed. Of course, additional time may be granted after consultation with the employee's supervisor.

If sick leave is claimed for a continuous period in excess of five (5) working days, a physician's statement is required to permit further claim of sick leave benefits by the employee-patient. At the supervisor's discretion, a physician's statement can be required for a shorter period.

**Interpretation of Sick Leave Policy for Full Time Faculty.** The following provisions for the reporting of sick leave shall apply to all full time faculty, employed by institutions of the University System of Georgia, who serve primarily in assignments defined by faculty roles in instruction, research and scholarly activity, and service.

- (1) Faculty are responsible for informing their Chair of any illness that prohibits them from meeting their assigned responsibilities in instruction, research, and service.
- (2) In reporting sick leave, academic year faculty will report leave based on the number of whole hours sick as defined by the BOR Policy 802.08, with a full day being eight (8) hours, a half day being four (4) hours, and less than a half day based on whole hours missed, with a full week being the equivalent of a forty-hour workweek.
- (3) Nothing in this policy shall be interpreted to indicate that faculty work on a standardized schedule.

**Sick Leave Without Pay.** Any employee unable to return to work after exhausting all accumulated sick leave and accrued vacation leave may request sick leave without pay for a period not to exceed one year. Furthermore, such approved sick leave shall allow the employee the right to elect to continue their group insurance benefits and the institution will continue its share of the cost for a period not to exceed one year. All other benefits are prohibited which otherwise would accrue to the employee.

**Ordered Military Duty.** For the purpose of this policy, ordered military duty is performed in the service of the State or the United States, including but not limited to service schools conducted by the armed forces of the United States. Such duty, performed for a period or periods not exceeding a total of 30 days in any one calendar year, shall be deemed "Ordered Military Duty" regardless of whether the orders are issued with the consent of the employee.

**Selected Service and Military Physical Examination.** Any regular employee required by Federal law to take a selective service or military physical examination shall be paid for any time lost to take such an examination.

**Leave of Absence.** An employee who receives orders for active military duty shall be entitled to absent himself or herself from their duties and shall be deemed to have a leave of absence with pay for the period of such ordered military duty, and while going to and returning from such duty, not to exceed a total of eighteen (18) work days in any one calendar year and not exceeding eighteen (18) work days in any one continuous period of absence. At the expiration of the maximum paid leave time, continued absence by the employee shall be considered as military leave without pay. The employee shall be required to submit a copy of the orders to active duty.

**Emergency Leave of Absence.** Notwithstanding the foregoing leave limitations of eighteen (18) days, in the event the Governor declares an emergency and orders an employee to State active duty as a member of the National Guard, such employee while performing such duty shall be paid their salary or other compensation as an employee for a period not exceeding thirty (30) days in one calendar year and not exceeding thirty (30) days in any one continuous period of such State active duty service.

**Maternity Leave.** Disability due to pregnancy shall be considered as any other disability and appropriate sick leave provisions of these policies shall apply.

**Family Leave.** Any employee who has been employed on a half-time basis or greater for at least twelve months is eligible for twelve work weeks of family leave during a 12-month period commencing on the date the family leave begins. Family leave shall be unpaid leave; however, if an employee is eligible to use accumulated sick leave, the employee, after obtaining permission from the employer, may do so exclusive of the twelve weeks of family leave. Family leave shall be granted to an eligible employee in the event of

- a. the birth of the child of the employee;
- b. the placement of a child with the employee for adoption;
- c. a serious health condition of the employee's child, spouse, parent or spouse's parent necessitating the employee's presence; or
- d. a serious health condition of the employee which renders them unable to perform the duties of their job.

With certain exceptions as indicated in the Family Leave Act, family leave entitles the employee to be restored to the position held prior to going on family leave or to an equivalent position with equivalent benefits and pay. Family leave allows the employee to maintain their employee benefits during the period of leave with institutional participation in the payment of premiums.

**Fair Labor Standards Act.** When exempt employees are absent from work for less than one scheduled workday and their accumulated (sick) leave is insufficient to cover the partial day of absence, they shall be placed on Fair Labor Standards Act leave with pay for the period of the absence.

**Court Duty.** Court duty leave with pay shall be granted regular employees for the purpose of serving on a jury or as a witness. Such leave shall be granted upon presentation of official orders from the appropriate court.

**Voting.** Employees of the University System are encouraged to exercise their conditional right to vote in all federal, state, and local elections. When an employee's normal working hours coincide with voting hours, the employee shall be granted leave as stipulated by their immediate supervisor, for the purpose of voting.

**Personal Leave.** At the discretion of the President of an institution, personal leave of absence without pay for periods not to exceed one year may be approved. Such approved personal leave shall allow the employee the right to elect to continue group insurance benefits.

**Other Leave.** In the event of inclement weather or any emergency which requires leave of absence of employees, the President may declare leave with or without pay.

### **Leaves for Professional Personnel**

Leaves of absence of one year or less with or without pay may be granted by the institution's president and reported to the Chancellor. Extensions of such leaves, or the initial granting of leaves of more than one year, require the approval of the Chancellor or his/her designee. (BOR Policy Manual 802.0804)

Approved leave shall allow employees the right to elect to continue group insurance benefits with institutional participation. (BOR Policy Manual 802.0804)

### **Retirement - Teachers' Retirement System or Regents' Retirement Plan**

It is the policy of the Board of Regents to provide for the retirement of all eligible employees either through the Teachers' Retirement System of Georgia or the Regents' Retirement Plan. Eligible employees of the Regents' Retirement Plan are those employees defined in the Board of Regents' Policy Manual under Sections 203.0301 and 203.0302 as the "Corps of Instruction and Administrative Officers," and as further defined by the University Statutes, and whose appointment is subject to approval of the Board of Regents. Information on each plan is available from the Human Resources Office.

**403(b) Tax Sheltered Annuity Program.** Supplemental retirement plan through payroll deduction: the employee contributes the total monthly cost on a pretax basis. Companies allowed for

payroll deduction include VALIC, TIAA-CREF, Lincoln National, Equitable, State Merit System, Vanguard Group, Dreyfus Service Corporation, and New York Life. Contact the Human Resources Office for additional information.

### **Workers' Compensation Insurance**

All employees of the University System are covered by Workers' Compensation Insurance.

### **Social Security**

Employees at the University participate equally in the Social Security program. Benefits are payable for death, disability, and retirement under Social Security and are separate from income received from the Teachers Retirement System or the Regents' Retirement Plan. Applications for benefits should be made a minimum of three months prior to the desired beginning date. The current contribution rate is 7.65% of covered wages, up to \$87,000.

### **Group Insurance Plans**

**Health Insurance.** Georgia Southwestern State University, through the University System, offers comprehensive health care coverage to all regular employees who work on at least a half-time basis. The University currently contributes a percentage of the premium for three levels of coverage: Individual, Individual and one dependent, and Individual and two or more dependents. Employee contributions are automatically pretaxed. The rate schedule is published annually by the Human Resources Office. A dependent who is over 19 but less than 26 years of age who is a full-time student at an accredited school, can be covered under this Plan. Employees may be eligible for retiree health benefits if they retire from active service with certain age and service requirements having been met. For more details, contact the Human Resources Office.

**Dental Insurance.** The University makes available comprehensive dental coverage for all regular employees who work at least on a half-time basis. The employees pay 100 percent of the monthly premium for either individual or family coverage. An eligible dependent who is over 19 but less than 25 years of age who is a full-time student at an accredited school can be covered under this plan. Employees may be eligible for retiree dental benefits if they retire from active service having met certain age and service requirements.

**Life Insurance.** The University provides all regular employees, who work on at least a half-time basis, with \$25,000 in basic life insurance coverage at no cost to the employee. In addition, the University offers a supplemental life insurance plan, whereby eligible employees may purchase additional life insurance for themselves, their spouse, or children, with the employee paying the full monthly premium through convenient payroll deduction. Details are available in the Human Resources Office.

**Cancer and/or Intensive Care Insurance.** Supplemental specialized cancer care and/or intensive care insurance is available. The GSW employee pays the total monthly cost through convenient payroll deduction; premiums vary according to the level of coverage. Contact the Human Resources Office for additional information.

See Human Resources for specific plan administrators.

### **Long Term Disability Plan**

Georgia Southwestern State University offers its employees a Long Term Disability Insurance to protect against protracted loss of income when one is totally and permanently disabled. This plan is designed to guarantee an employee monthly income of approximately 60 percent of his/her regular monthly salary

(before taxes). There is a waiting period of 90 or 150 days before the employee can begin to receive benefits if disabled. The monthly premium is paid by the employee through convenient payroll deduction. Contact the Human Resources Office for information on the current carrier and current rates. Premium cannot be pre-taxed. Eligibility terminates at age 65. All regular employees working one-half time or more and under 64 years of age are eligible. The cost is subject to change on an annual basis.

### **DOCO Credit Union**

Employees may join the Dougherty County Employees Federal Credit Union (DOCO) and designate a set amount monthly to be deposited using convenient payroll deduction. DOCO now has a local branch office in Americus. For further information on the services available from the Credit Union, contact the Human Resources Office.

### **Flexible Benefits Reimbursement Accounts**

This Plan allows certain employee expenses to be excluded from taxable income, resulting in greater spendable income. Covered expenses include qualified medical and dental expenses that are not reimbursed by the University Health and Dental Plans, and Dependent Care expenses incurred as a result of employment. New employees may join the Plan within 30 days of employment. The Plan Year is January 1 - December 31; there is an annual open enrollment period in November to allow employees to make an election for the new year.

### **Unemployment Compensation Insurance**

The passage of Federal and State legislation place institutions of higher education under Employment Security Laws effective January 1, 1972. All costs will be paid from State Funds.

### **Faculty Travel**

The University budget provides for travel by faculty members for the purpose of attending various meetings and professional functions outside the city. The President, Vice President for Academic Affairs, and the academic deans and department chairs may request that faculty members attend various state and regional meetings to represent the University and its departments. Faculty members who wish to attend such functions must secure prior approval of the dean of the school or department chair and the Vice President for Academic Affairs. Faculty children and spouses are prohibited from traveling in university-owned vehicles.

An American Express Corporate Charge Card (no annual fee) is available for GSW travel business expenses. For additional information and application form, contact the Human Resources Office.

### **Private Automobile Travel Allowance**

Private automobile travel allowance is dictated by state policy. Reimbursement for meals will be made on a reasonable basis. Employees are entitled to reimbursement for breakfast expenses if they depart prior to 6:30 a.m., and for dinner expenses if they return later than 7:30 p.m. The noon meal is not reimbursable unless overnight lodging is incurred. Receipts for meals are not required. A travel approval form must be approved by the academic dean and the Vice President for Academic Affairs, and cleared by the Business Office before departing from the campus. Upon return from such an authorized trip, the faculty member must complete the proper expense form for reimbursement, giving mileage readings and any other allowable expenses incurred during the trip. It is expected that reservations will be made in

advance whenever practical, that minimum rate accommodations available will be utilized, that "deluxe" hotels and motels will be avoided, and that commercial rates will be obtained whenever possible. Receipts for lodging expenses must be attached to the expense statement. Each person on travel status must file a separate travel approval form and expense statement. The Hotel/Motel Excise Tax Exemption form must be used when traveling on authorized trips within the State of Georgia.

## **Printing Services**

To assure that all university publications meet legal, content and quality requirements, all requests for off-campus printing, regardless of size or cost, must be approved by the Office of University Relations. Materials to be circulated off-campus, regardless of printing source, are to be reviewed by the Office of University Relations.

## **Mail Service**

Postage for official correspondence will be paid by the University. United States mail is picked up at the campus post office at 5:00 p.m. Monday through Friday.

Mail delivered to the campus post office thirty minutes prior to the pick-up will be processed that day. Packages containing educational material may be mailed at a special rate.

All campus mail is coordinated through the Campus Post Office. Incoming and internal mail is processed once a day in the morning. Departments/schools may elect to pick up their mail at the Campus Post Office or at the Administration Building. All library mail will be delivered to the library. Materials Management will deliver heavy or bulky packages.

Any outgoing mail for the afternoon must be delivered to the Campus Post Office by the departments/schools no later than 4:30 p.m. or to the Administration Building no later than 3:00 p.m. Bulk mailings are by special arrangement with the Campus Post Office.

It is the responsibility of each department/school to arrange a satisfactory method of distributing mail to the faculty in that department/school.

## **Telephone Service**

Telephones are located in various offices for official university use by the faculty. Local calls may be made freely. **Long distance calls shall be for business purposes only.**

## **Faculty Parking and Automobile Registration**

Each faculty member must secure a decal for the vehicle he/she will be using on campus. Each faculty may secure a maximum of two (2) decals. Vehicles operated by faculty must display a current faculty decal. Decals are available at the Public Safety office at no cost.

A limited number of faculty/staff parking areas are available on campus. Faculty are required to park in designated Faculty and Staff areas, during the hours of 7:00 a.m. to 5:00 p.m. on class days. In the event designated Faculty and Staff areas are not available, the all zone facility at the rear of the library must be used. The area in front of the Administration Building is reserved for visitors.

Faculty members are required to respond to Public Safety parking citations. Payment may be made or an appeal filed at the Public Safety office. Citations are due and payable within 3 class days

after the citation issue date. Citations not paid within 30 days of the citation issue date will be classified as delinquent fines. The accounts will be forwarded to the Business Office for collection. This may include the withholding of the faculty member's next paycheck.

## **Financial Exigency Policy, University System of Georgia**

"Anything in the Policies of the Board of Regents to the contrary notwithstanding, if the Board of Regents finds that a condition of Financial Exigency exists either at an institution, within an academic or other unit of an institution, or in the University System generally, then the layoff or termination of tenured faculty, non-tenured faculty or other contract employees before the end of their contract term, will be handled in accordance with the Financial Exigency policy set forth in Section 805-805.03, *Policies*, Board of Regents." For complete policy information, the faculty member is referred to the *Policies* of the Board of Regents.

### **<sup>1</sup> Intellectual Property Policy**

Intellectual Property Policy for Georgia Southwestern State University –<sup>1</sup> Passed by Faculty Affairs  
2/24/12

#### **1. Purpose:**

- A)** To define the rights of creators of intellectual property and of the university in relation to such property.
- B)** By clearly defining and protecting the rights of creators of such property, to encourage its creation.
- C)** To define clearly the relative value of shared rights to such property, if such rights exist.

#### **2. Definitions:**

- A)** Intellectual Property (IP) is any creative work that is potentially protected by national and/or international patent or copyright law, whether such protection is sought or not. Ownership of the IP carries the implied sole right of deciding whether or not a patent or copyright shall be sought. Intellectual property should be understood to include, but no be limited to:
  - a) Written works of any sort, whether existing on paper or in digital form.
  - b) Computer programs or portions of programs, or other software, whether created for classroom, service, or scholarly purposes. Ownership of software and programs carries with it ownership of any instructional materials and/or manuals or documentation, logos, artwork, and so on, developed to accompany it.
  - c) Artistic creations, whether visual, dramatic, or musical, as well as audio and/or video recordings (or digital equivalents) of existing works in the public domain, or for which rights to record have been acquired.
  - d) Recorded lectures or performances, whether recorded in audio, video, or both formats, and whether created for classroom, service, or scholarly purposes.
  - e) Filmstrips, overheads, charts, and any other visual aid, whether in tangible or digital form.
  - f) Mask work for the creation of electronic circuitry.
  - g) Novel organism varieties (such as plant varieties) that qualify for patent protection.
  - h) Inventions and other creations that qualify for patent protection. Any trademarks and trade secrets that go along with such materials are part of the IP.
  - i) Archival and other material created or collected in the process of creating the IP. These may include databases and other tabulations, specimens of fossil or living organisms, photographs, films, notebooks, rough sketches and drafts, voice recordings, and so on. Digital versions of any of these things are to be regarded the same as hard copies. In the case of materials that are required to be archived in a public institution (such as organism type specimens) the owner of the IP holds sole right to determine where they shall be archived.
- B)** A **creator** is an individual who conceives, develops, perfects, or makes some other substantial



contribution to the existence of a piece of intellectual property. **Co-creators** are individuals who all work on a single piece of IP. Co-creators have the choice to retain individual rights to the IP, or to pool their rights and be considered an **institutional creator** collectively. It is incumbent upon co-creators to have an agreed upon policy in place to outline the individual rights among themselves, or within their institution, before beginning work on the IP. Such agreements can be modified as the work progresses if necessary and mutually agreeable. The university as a whole, or any sub-unit of the university (such as a school or department) can be a **plenary creator** if and only if that institution conceives, funds, and hires labor specifically to bring the IP into existence *ab initio*.

### **3. Determining ownership of IP.**

There exists a contractual agreement between the university and each of its employees and students that places certain responsibilities and rights on both. The following is written specifically about the relationship between the university and a faculty member, but the same or similar arguments hold true for any staff member or for any student who creates a piece of IP while at the university.

The university is expected to provide a certain level of tangible support to a faculty member. This level of **customary** or **normal** support includes, but is not necessarily limited to, office (and in appropriate cases) laboratory or studio space, office supplies, access to telecommunications and computer equipment, software, internet services, e-mail, disk memory for websites, laboratory supplies, photocopy machines and supplies, library (including e-library) access, interlibrary loan, computers, student assistants, access to secretarial services, and other such items that the faculty member is expected to use for normal teaching, service, and scholarly pursuits as part of her/his normal or customary duties. In exchange, the university profits from the students the faculty member teaches, the alumni he/she has previously taught, the prestige (at least) of his/her scholarly achievements, and the administrative value of her/his committee work, service work, and so on. Provision of these items does not entitle the university, or any part of the university, to any share in the ownership of IP created by the faculty member. It should be noted that the notion of "customary" will evolve over time. Today it is customary to provide a desktop computer for faculty. In five years a tablet might be the norm. The rule of thumb is that whatever is generally provided to most or all members of the faculty at the time a piece of IP is created is "normal and customary".

#### **A) Sole ownership by an individual creator:**

Any creative work accomplished by an individual faculty member, or any IP that results from that work, is owned solely by the individual, even if that faculty member has used the customary support of the university in creating the IP. In the event that the creative work is carried out under a grant from an outside agency (which ordinarily would be granted to the institution and not the individual), the creator is still the sole owner of the IP. The university can claim no rights to it. This is true whether the grant carries indirect costs ("overhead") or not. Acceptance of a grant on behalf of a faculty member implicitly agrees to these terms. The university may not make acceptance of a grant contingent upon being granted ownership or co-ownership, but may insist that all required labor for the creation of the IP, beyond the customary and normal, be covered in the grant funds, either as overhead or as direct costs.

#### **B) Co-ownership by co-creators:**

If the work leading to a piece of IP is collaborative among several individuals, those co-creators must have a clear, written agreement *a priori* about proportional sharing in the ownership, or agreement to function as an institutional owner. Disagreements at this stage are to be arbitrated by the IP committee. Of course any individual may enter into a *a priori* agreement with the university to share her or his ownership with the university, but is under no obligation to do so.

The university may be considered a co-creator, but only if it has actively and purposely agreed to provide (and does, in fact, actually provide) an unusual level of support, either by providing additional funds, support staff, student assistants, release time, specially purchased equipment or supplies, rare holdings of its library or museum which become a part of the IP (as in digital reproduction) or otherwise provides an unusual level of support specifically for the project. The request for such support must be made by the individual creator or co-creators, and may not be offered or required by the university without such a request. In this case the university cannot be the primary creator, nor can it hold a majority share in the ownership of the IP.

**C) Sole or primary ownership by the university as plenary creator:**

There exists only one instance in which the university can be the plenary or the primary creator/owner of a piece of IP. In this case, the university must conceive the idea of creating the IP, must instigate work on the IP, must supply all funding during development of the IP, and must hire labor *ab initio* whose entire function is to create the IP. Furthermore, if any single new hire can be identified as the primary contributor of creative intellect to the work, that individual must be considered a co-creator and co-owner. The proportional ownership in this case is to be agreed *a priori* by mutual consent or by decision of the IP committee. Existing faculty, students, or staff may not be recruited unless they are offered creator and owner status commensurate with their contributions, and it would be expected that at least one of them would become the primary creator and owner. If the university fully meets the definition of plenary creator it may be sole owner of the resulting IP. At its discretion, the university (as plenary creator) may offer individuals hired to do the labor a share in the ownership of the IP, but is under no obligation to do so. Any sharing of ownership in this case must have clear *a priori* written agreement about the proportional ownership of the IP.

**4. Administration of the IP policy.**

The university president shall appoint a committee (the IP committee) to oversee administration of this policy. The chair of this committee shall be a faculty member whose primary responsibility is teaching. Each college and division on campus shall be represented by a faculty member, again with a primarily teaching appointment. One member shall come from the Business and Finance office. Additional members may be appointed as applicable to individual cases from other areas – staff, students, the Library, additional specialists from certain departments or offices, etc.

This committee should ordinarily meet only to review an agreement about proportional ownership of IP, to settle disputes about proper allocation in such an agreement, to settle other disputes over the use of the IP, or to assure that the university has sought and has received a proper co-ownership in any case where the university's interest is a consideration. All decisions made by the committee shall be made after formal consultation with the creators of the IP, and are binding.

The Faculty Handbook includes a section on Grants and Contracts that includes certain responsibilities of individuals that might be considered creators of IP. Anyone intending to initiate a funded project that might lead to creation of IP should review this document and follow its requirements.

**5. Guidelines for distributing the university's income or share of income from a piece of IP.**

In the event that IP is created by an individual or a set of individuals without the university holding any vested interest in the IP, the university also has no responsibility for the legal and/or administrative aspects of the project, beyond those that a granting agency (if one is involved) ordinarily requires.

If the university does hold any vested interest, then 20% of the annual gross income generated by that IP is to be held by the university to cover any and all legal and administrative costs, which the university thus assumes. If the university can demonstrate that its actual costs exceed this amount, the IP committee can allocate additional monies from the income to cover the additional costs. The remaining income (ordinarily 80% of the gross) is referred to hereafter as the net income.

As a guideline, it is recommended that the university's share of the interest in income from IP be 15% of the net, if there is an individual primary creator or set of individual co-creators. If the university is the plenary creator, it is entitled to the entire net income unless it has agreed to share with co-creators recognized *a priori*, and has formally agreed upon the proportional ownership.

Because the university's share in the income from a piece of IP results from the creative work of its employees, a substantial amount of the income should be employed stimulating additional creative work. As a guideline, any university income up to \$500,000 per year should be used to support research, innovation, or new teaching materials and initiatives instigated by faculty members. Existing Faculty Development Grants or Faculty Instructional Grants, for example, might be enhanced, or new ways of supporting the creative work of faculty, students, and staff might be created. Of the funds thus dedicated, 15% should be allotted to the creator's department (or departments, if there is more than one creator, in

proportion to their ownership of the IP. An additional 15% should be allotted to the school(s) or division(s) of the creator(s) in the same way. The remaining 70% should be administered at the university level. Annual income above \$500,000 reverts to the general budget of the university.

Variations from these guidelines are permissible upon review by the IP committee, which also mediates any disputes over the allocations from any piece of IP.

*(For further information on University policies related to the faculty see the Statutes, Georgia Southwestern State University.)*

## **V. UNIVERSITY POLICIES Resulting from Federal, State, of Board of Regents Requirements**

*(The policies covered in this section are not subject to review or modification by either the administration or the faculty; however, if the summary statement in the handbook needs a review of its wording a proposal should be sent to the Faculty Affairs Committee. The committee will consider and propose a revision after consultation with the BOR legal office or other relevant body. A link to the original federal or state statute or BOR policy statement is included for each policy for reference.)*

### **Non-Discrimination Against Students With Disabilities**

It is the policy of Georgia Southwestern State University that faculty members or other employees do not discriminate in any way against students with disabilities. Faculty are required to make reasonable accommodations for students with officially documented disabilities.

Students are responsible for identifying themselves as having a disability. They are to contact the staff of the Student Support Services Office for an interview and to determine their needs. This should take place prior to enrolling at GSW if at all possible. GSW strongly recommends that students discuss their needs with each of their professors during the first week of classes. If a faculty member is aware of a need to make an adjustment to accommodate a student with disabilities, he or she should notify the Office of Student Support Services for a determination of the appropriate accommodations.

### **Policy Statement on a Drug Free Campus**

Georgia Southwestern State University is committed to support and comply with the Drug Free Schools and Communities Act Amendments of 1989 (Public Law 101-226, Section 22, subpart B) as an Institution of Higher Education. The law under this act now covers both drugs and alcohol, and relates to faculty, staff, and students. Therefore, the entire campus community of Georgia Southwestern State University is under the mandate to comply. A committee appointed by the President of Georgia Southwestern has been charged with ensuring compliance with the aforementioned federal mandates. The Task Force shall focus on alcohol, tobacco, and other drug education, prevention and intervention for the GSW campus community. The Task Force shall:

- provide continual guidance and support to ensure that the 1989 amendments (Part 86) to the "Drug-Free Schools and Campuses Act" regulations are being followed.
- develop a strategic plan for GSW on ATOD issues. This will include the assignment of sub-committees to accomplish strategic plan tasks.
- forward any recommendations or modifications in any current GSW drug/alcohol/tobacco policies to the President.

- establish and assess the Student Assistance Program to educate and provide interventions to students who violate current GSW alcohol, tobacco, and other drug policies as well as any federal, state or local laws.
- oversee the general education of the campus community in relation to policies, laws, and risks associated with ATOD use including programming, classes, seminars, and workshops
- collaborate with GSW's chapter of the BACCHUS Peer Educators to provide quality educational programming in the areas of alcohol, tobacco, and other drugs for the campus community
- provide training for task force members and peer educators on ATOD issues
- provide financial support for GSW education and prevention programs.
- assess the university environment surrounding perceptions and use of ATOD using a variety of instruments such as the CORE survey
- collaborate with members of the community to ensure a community approach to ATOD education

Any recommendations or modifications in any current GSW drug/alcohol policies may be forwarded to the President.

To achieve the maximum benefit under this program, Georgia Southwestern State University expects faculty, staff, and students to meet appropriate standards of performance, to observe basic rules of good conduct, to comply with Institutional personnel policies and procedures as contained in the Personnel Policy Manual, the Faculty Handbook (as amended), and the GSWeathervane: A Student Handbook (as amended).

As an institution of higher education, the primary focus is on the health and safety of all faculty, staff, and students. It is well substantiated that the health risks in using illicit drugs and abusing alcohol are enormous to the individual, as well as devastating to family, friends, and the community.

Georgia Southwestern State University provides a confidential counseling and referral program and actively encourages faculty, staff, and students who feel they have a potential substance, alcohol or other drug-related problem to utilize these services. An important part of this program includes the Student Assistant Program (SAP) which is a coordinated effort by the Office of Student Life, Resource and Referral Center and the Task Force on Alcohol and Other Drugs.

In the discharge of its responsibilities as an employer and an institution of higher education, Georgia Southwestern State University aggressively promotes and requires a drug free campus among its faculty, staff, and student body. The unlawful manufacture, distribution, dispensation, possession, or use of illegal drugs or alcohol by Georgia Southwestern State University employees and students is prohibited by Institutional policy. Violations of this policy, including felony and/or misdemeanor drug or alcohol convictions during the course of employment or as a student enrolled in any academic program at Georgia Southwestern State University, may result in appropriate disciplinary penalties being imposed by the University, up to and including termination of employment or expulsion and referral for prosecution.

This policy shall be communicated to new faculty by the Department of Human Resources, to classified staff by the Department of Human Resources, to all new entering students and all other students by the Office of Student Life. Each contractor engaged in the performance of federal contract or grant will be provided with a copy of this policy. The institutional Personnel Policy Manual, Faculty Handbook, and GSWeathervane are amended to incorporate this policy.

## **Policy Statement on Sexual Harassment**

It has always been our policy to maintain the best possible working environment for all faculty, staff, and students. All employees and students have the right to be free from sexual and all other forms of unlawful harassment of any kind in the workplace, including harassment because of race, color, religion, gender, national origin, age, disability, or any other characteristic protected by applicable federal, state or local law. GSW will not tolerate such harassment.

### **What is Sexual Harassment?**

Sexual harassment is an unwelcome advance, request for sexual favors, and other verbal or physical conduct of a sexual nature when . . .

- submission to such conduct is made explicitly or implicitly in a term or condition of an individual's employment or academic standing; or
- submission to or rejection of such conduct by an individual is used as a basis for employment or academic decisions affecting an individual; or
- such conduct unreasonably interferes with an individual's work or academic performance or creates an intimidating, hostile, or offensive working or academic environment.

### **Sexual Harassment can take many forms including:**

- Remarks of a sexual nature concerning a person's body or clothing
- Sexually explicit slurs or words which are used to describe a person
- Unnecessary and unwelcome touching, patting, pinching or fondling
- Unwelcome propositions or requests for social dates or sexual activity
- The circulation or displaying of sexually oriented cartoons, pictures, or other potentially offensive materials while on campus
- Remarks exchanged by two consenting adults that may be offensive to other individuals

### **What should you do if you think you're being subjected to Sexual Harassment at Georgia Southwestern State University?**

If you feel you are a victim of sexual harassment, you should bring your concerns to University's Affirmative Action Office. The earlier the incident is reported, the sooner University officials can investigate concerns. Any complaint under this policy will be handled confidentially and fairly. No reprisal or retaliation will occur because of the report of an incident of sexual harassment. A formal grievance can also be filed when reporting an incident of sexual harassment.

### **Required Information Provided on Course Syllabus**

Faculty members are expected to provide each student in each of his/her classes within the first week of the term the following minimum information in writing:

1. Major objectives of the class.
2. Grading procedures to include the number of examinations, the number of term papers, the number of oral presentations, and any other requirement which will be considered in determining the student's final grade. Also included would be the percentage of the final grade which each requirement carries. The intention is that each student fully understands on what his/her grade will be based.

3. The amount of material to be covered.
4. The faculty member's policy on absences to include the effect of absences on the student's final grade.

Faculty members are expected to be available to students for consultation outside regularly scheduled class time. As faculty members establish office hours at the beginning of each term, they should post this schedule for the convenience of students.

Faculty members should provide the student any information in writing which would facilitate that student's understanding of the course.

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

1. Georgia Southwestern State University is covered by the Family Educational Rights and Privacy Act of 1974 (FERPA), as amended, which is designed to protect students' rights in regard to education records maintained by the institution. Under the Act, students have the following rights:
  - a. the right to inspect and review education records maintained by the institution that pertain to them;
  - b. the right to challenge the content of records (except grades which can only be challenged through the Grade Appeal Process) on the ground that they are inaccurate, misleading or a violation of their privacy or other rights; and
  - c. the right to control disclosures from their education records with certain exceptions.
2. Any student who is or has been in attendance at Georgia Southwestern State University has the right to inspect and review his or her educational records within a reasonable period of time (not to exceed 45 days) after making a written request. However, the student shall not have access to:
  - a. Financial records of parents.
  - b. Confidential letters of recommendation placed in record prior to January 1, 1975.
  - c. Letters of recommendation concerning admission, application for employment or honors for which the student has voluntarily signed a waiver.
3. Directory information will be treated as public information and be generally available on all students and former students, at the discretion of the university. Directory information includes the student's name; telephone number; major field of study; participation in officially recognized sports; height; weight; dates of attendance; degrees, honors and awards received; level, and full or part time status. Participation in officially recognized sports; height, weight, age, hometown and general interest items of members of athletic teams is also included in Directory Information.
4. Requests for Education Records should be made in writing to the Registrar, Georgia Southwestern State University. "Education Records" means generally any record maintained by or for Georgia Southwestern State University and containing information directly related to the students' academic activities.
5. Students who challenge the correctness of student educational records shall file a written request for amendment with the Registrar. The student shall also present to the Registrar copies of all available evidence relating to the data or material being challenged. The Registrar shall forward the information to the custodian of the record who will consider the request and shall notify the student in writing within 15 business days whether the request will be granted or

denied. During that time, any challenge may be settled informally between the student, or the parents of a dependent student and the custodian of the records, in consultation with other appropriate University officials. If an agreement is reached it shall be in writing and signed by all parties involved. A copy of such agreement will be maintained in the student's record. If an agreement is not reached informally or, if the request for amendment is denied, the student shall have the right to challenge through the Grievance Procedure outlined in the Student Handbook.

6. Release of protected information in the student's educational record without consent will be allowed to:
  - a. Institutional personnel who have a legitimate educational interest.
  - b. Officials of other schools where the student seeks to enroll. Efforts will be made to notify the student of the release of such information.
  - c. Representatives of Federal agencies authorized by law to have access to education records, and state education authorities.
  - d. Appropriate persons in connection with a student's application for or receipt of financial aid.
  - e. State and local officials to whom information must be released pursuant to a state statute adopted prior to November 19, 1974.
  - f. Organizations conducting studies for the institution.
  - g. Accrediting organizations.
  - h. Parents of a dependent student, as determined by the Internal Revenue Code of 1954, as amended.
  - i. Persons necessary in emergency situations to protect health and safety.
  - j. Persons designated in subpoenas or court orders.
7. If a request for Education Records is not covered by the Annual Disclosure Statement provided by the Registrar, the written request for release of information should be submitted to the Registrar and contain the following information:
  - a. Specific records to be released.
  - b. Reasons for such release.
  - c. To whom records are to be released.
  - d. Date.
  - e. Signature of the student.
8. Records will be released in compliance with a judicial order or lawfully issued subpoena. However, reasonable efforts will be made to notify the student in advance of compliance.
9. Students have the right to obtain copies of official transcripts provided all financial obligations to the University have been met. Students will be charged at the prevailing rate for each certified transcript obtained. Copies of other information in the student's education record will be provided at a cost of \$0.25 per page of copy.
10. Students who feel that their rights have been violated under the provisions of the Family Educational and Privacy Act should write to the following office: Department of Education, 330 Independence Avenue, SW, Washington, D.C. 20201.
11. Georgia has an Open Records Act. All records kept by Georgia Southwestern State University, except those protected by the Family Educational Rights and Privacy Act of 1974, are subject to public open records requests. Requests for public open records should be submitted in writing to the Director of Human Resources, Georgia Southwestern State University.

## VI. Academic Affairs Policies (Committee on Academic Affairs)

### Policy on Academic Integrity

#### Introduction

Academic Integrity is a commitment, even in the face of adversity, to five fundamental values: honesty, trust, fairness, respect, and responsibility. From these values flow principles of behavior that enable academic communities to translate ideals into action. **International Center for Academic Integrity<sup>1</sup>**

GSW's Policy on Academic Integrity sets forth principles of behavior intended to enable its community members to act according to these fundamental values, thereby fostering a community of excellence in teaching and learning. This policy defines academic integrity, assigns responsibility of community members for upholding these principles, defines academic dishonesty, and delineates the procedure for handling violations of the community standard.

#### Principles of Academic Integrity

1. Accurate Attribution of Ideas: While the free exchange of ideas does not demand that every idea a person expresses be her or his own original thought, it does demand that a person accurately represent the origin of the thoughts she or he expresses. The forms of attribution vary depending upon the formality of the setting in which ideas are exchanged. In conversation, attribution might be as simple as referring to where you heard an idea while in a class presentation or a written assignment, a specific style of attribution or documentation will be required. The specific format for such is usually defined by the academic discipline.
2. Collaboration on Assignments: Collaboration is a fundamental component of community building and a valued ability in the work force, as well as one of the most important practices of a democratic society, but it depends on community members exercising the values of fairness, respect, and responsibility. Respectfully listening to the perspectives of others, and shouldering the responsibility for contributing equitably to the success of the group demonstrate academic integrity. In the academic setting, collaboration has been shown to improve students' learning, but it must be balanced with the need to assess a student's individual mastery of a topic. Thus, faculty may actively discourage collaboration for some types of assignments, such as homework or papers, while encouraging it in others circumstances, like group projects or presentations.
3. Collection of Data: The academic community is a culture of evidence in which decisions are made and opinions evaluated largely on the basis of the factual or logical support. Therefore, whenever a community member presents data he or she has collected firsthand through observing, interviewing, surveying, or experimenting, he or she must be careful to describe clearly how the data were collected to verify that the results are presented accurately and to maintain all confidentiality agreements with participants.
4. Quizzes, Tests, and Examinations: The academic community often calls upon its members to demonstrate what they know, or what they can do individually, often under the pressure of time constraints, which can put a student's honesty, trust, fairness, respect, and responsibility to the test. Academic integrity requires that a student abide by the rules established by the faculty member for assessing individual learning.



## **Responsibility of Community Partners for Upholding the Values of Academic Integrity**

### Responsibility of the Faculty Member:

Students do not always come to the GSW community knowing the principles of academic integrity and therefore teaching students to exercise these principles is the duty of the faculty. Given that the parameters of academic integrity are defined by the goal of an assignment or activity, the type of assessment being used, and the standards of the particular discipline, faculty members should be explicit about their expectations of students. To that end, faculty members should state in their syllabi the expectations for 1) attribution of ideas, 2) collaboration on assignments, 3) collection of data, and 4) quizzes, tests and examinations.

### Responsibility of the Student

As partners in their own learning, students are responsible for making themselves aware of how the principles of academic integrity apply in each academic setting they enter. While the faculty member is responsible for setting expectations, it is the student's responsibility to seek guidance from the faculty member, especially when unsure of how to apply the principles in a particular situation. When in doubt, seek guidance from the instructor.

## **Academic Dishonesty**

Violations of academic integrity will be subject to sanction by the academic community. The examples given below are intended to clarify the standards by which academic dishonesty may be judged.

### Plagiarism

Plagiarism includes, but is not limited to, asking someone to write part or all of an assignment, copying someone else's work (published or unpublished), inadequately documenting research, downloading material from electronic sources without appropriate documentation, or representing others' works or ideas as one's own.

### Cheating on Examinations

Cheating on an exam includes, but is not limited to, giving or receiving unauthorized help before, during, or after an in-class or out-of-class exam. Examples of unauthorized help include using unauthorized notes in either hard copy or electronic form, viewing another student's exam, taking pictures of exams with cell phones or other electronic devices, allowing another student to view one's exam, and discussing an exam or sharing information on an exam's content with other students after the exam has occurred in one section but not in another.

### Unauthorized Collaboration

Unauthorized collaboration includes giving or receiving unauthorized help for work that is required to be the effort of a single student, such as the receiving or giving of unauthorized assistance in the preparation of a laboratory or writing assignment, on-line exams, etc.

### Falsification

Falsification includes, but is not limited to the fabrication of citations or sources, of experimental or survey results, and of computer or other data.

### Multiple Submissions

A student may not submit substantial portions of the same work for credit more than once without the explicit consent of the faculty to whom the work is submitted for additional credit. If a work product is to be

substantially revised or updated, the student must contact the faculty member in advance to discuss necessary revisions. In cases where multiple submissions are approved, faculty members will require copies of the original documents for comparison.

### **Process for Resolving Academic Dishonesty Issues**

Instances of academic dishonesty are a serious violation of community standards for academic integrity and may result in suspension or expulsion from GSW. While faculty members have the primary responsibility for establishing the parameters of academic integrity in the academic situations they supervise, it is the responsibility of all members of the GSW academic community to report suspected instances of academic dishonesty. Therefore, any member of the GSW academic community can lodge an academic dishonesty complaint with GSW's Student Conduct Officer.

Any member of the academic community who has evidence of academic dishonesty should report his or her suspicion and evidence to the faculty member of the student(s) believed to be in violation of the policy. The faculty member is then responsible for responding, and if she or he has adequate evidence, may file an Academic Dishonesty Violation Report with the Student Conduct Officer.

#### Faculty Reporting

If an instructor discovers a case of academic dishonesty, he or she may impose whatever penalty is deemed appropriate by the faculty member, given the standards and expectations shared with students in that course (including but not limited to rewriting assignments, failure on the assignment, or failure in the course). The faculty member has the final word for how the incident will be handled in his or her own classroom.

All incidents of academic dishonesty will be reported to the Student Conduct Officer using the Academic Integrity Violation Report Form which asks for a description of the incident, a copy of the faculty member's written policy on academic dishonesty, the penalty imposed by the faculty member, and the student's signature indicating the faculty member met with the student about the incident and explained the consequences.

The Student Conduct Officer will keep on file all Academic Integrity Violation Report forms. When a new report is received, the Student Conduct Officer will review the record to determine if the student has any other academic integrity violations on file. A first offense will be filed, but no action will be taken by the University unless the student chooses to dispute the charge, at which time the Student Conduct Officer will call for a hearing of the Faculty-Student Conduct Board. If the student has two or more violations on file, the Student Conduct Officer will automatically call for a hearing of the Faculty-Student Conduct Board, and the faculty member may be asked to submit further documentation of the violation.

The Faculty-Student Conduct Board will hold a hearing to determine if the student should be found in violation of the academic integrity policy and recommend a course of action to the Vice President for Academic Affairs. Only in cases where a student is exonerated of accusations of academic dishonesty can a grade be appealed through the grade appeal process. If the Faculty-Student Conduct Board determines the student to be in violation of the academic integrity policy, the Student Conduct Officer will then share with the Board any additional information concerning the number and types of prior violations, which the Board may consider when making sanction recommendations. The Faculty-Student Conduct Board will provide in writing its decision on the case and sanction recommendations to the Vice President for Academic Affairs. Sanctions may range from educational, such as assignments which require the student to research the topic of academic integrity or speaking to the UNIV 1000 classes about academic integrity, to more serious including probation, suspension, or expulsion.

The Vice President for Academic Affairs will notify the student and faculty member of the outcome of the case and of any University sanctions imposed. If sanctions include suspension or expulsion, the student's Department Chair and/or Dean will also be notified. A student may not withdraw from the

course in which an accusation has been made during the student conduct process. Students accused of academic dishonesty are entitled to the due process rights outlined in the Student Conduct Process of GSW.

<sup>1</sup>International Center for Academic Integrity. *The Fundamental Values of Academic Integrity*. Des Plaines, IL: Office of College Relations at Oakton Community College, 1999. 4. *International Center for Academic Integrity*. Web. 3 October 2012.

### **<sup>1</sup>Procedures for Faculty to Report Disruptive Classroom Behavior by Students**

1. When a student displays disruptive, disrespectful, or troublesome behavior in a classroom, the faculty member should document that behavior in an email format to the Assistant Dean of Students, the Director of Public Safety, and the chair of his/her department. The faculty should encourage anyone who witnessed the incident to go to either the Office of the Assistant Dean of Students or the Office of Public Safety to submit a statement as soon as possible following the incident.
2. The Assistant Dean of Students will create a file on that student. In addition, the Assistant Dean of Students will collaborate with the Director of Public Safety to determine which office will collect a statement from the student (and others/witnesses, if needed) regarding the incident.
3. The Assistant Dean of Students will make a determination at that time whether or not an immediate judicial action should take place, whether or not an informal meeting with the student should occur, or whether or not a report of the incident should remain in the student's file in order to determine whether or not there is a pattern of behavior problems.
4. The Assistant Dean of Students will email the student's professors to determine whether or not there has been other inappropriate behavior.
5. The Crisis Management Team will be notified of the reported incident and will become involved in reviewing, evaluating, and making recommendations on the student's behavior to all involved parties.
6. The Vice President of Academic Affairs will be notified about all reports and actions involving behavior in the classroom. The student's professors/faculty, affected by her/his behavior, will be informed of actions taken and decisions reached.

<sup>1</sup> Approved by General Faculty on 04/30/2010

## **Class Rolls/Class Size**

### **Class Rolls**

It is the responsibility of the faculty member to report inconsistencies in class rolls. If a student whose name is on the class roll does not appear by the second day of class and if an official drop notification has not been received, it should be reported to the Registrar's Office. Students whose names do not appear on the class roll should be sent immediately to the Registrar's Office to ascertain the reason for the omission. Official absences, beginning with the first class day following the add/drop period, should be recorded for any student who has added a course during late registration but has not attended class or contacted the instructor prior to the end of the add/drop period.

All instructors are responsible for taking roll during the first week of classes. (See Section K Administrative Withdrawal from a Course for Excessive Absences.)

Verification of attendance is processed in RAIN using the mid term grade form. Students not on the mid term grade list should be immediately reported to the Registrar's Office. Information should be entered by 11:00 p.m. of the third business day after the end of the first full week of class.

## Class Size

Academic deans and department chairs, in conjunction with their faculties, determine realistic class sizes, based on the nature of each course and the size of the facility.

## Grading System

Academic achievement for undergraduates is reported in letter grades and quality points as follows:

<u>Grade</u>	<u>Achievement</u>	<u>Quality Points</u>
A	Superior	4
B	Above Average	3
C	Average	2
D	Poor	1
F	Failing	0
P	Pass	0
S	Satisfactory Performance	0
U	Unsatisfactory Performance	0
V	Audit	0
I	Incomplete	0
W	Withdrawn	0
WF	Withdrawn Failing	0
NR	No Grade Reported by Instructor	0

Consult the Georgia Southwestern State University Bulletin for the grading systems utilized in graduate programs.

## <sup>1</sup>GSW Credit Hour Policy

Georgia Southwestern normally grants one semester credit hour for 50 minutes of instruction per week for 15 weeks; therefore, a typical three credit hour lecture class meets for 150 minutes per week. In addition, it is expected that the typical student will need to prepare for approximately 100 minutes per week outside class for every semester credit hour; therefore, a typical three credit hour lecture class will require approximately 300 minutes preparation per week.

Exceptions to this contact time expectation are made for classes in which the faculty has judged that more contact time is required to meet the learning outcomes of the class. For example, in task-oriented classes, such as studio classes, laboratories, clinical classes, classes with required field experience, and internships the contact time may be closer to the combination of contact and preparation time expected for a lecture class.

Similarly, in distance education classes, each credit hour represents approximately 150 minutes of activity per week; therefore, a typical three credit hour distance education class will require approximately 450 minutes of activity per week.

The hour designation is X-Y-Z, found at the end of the course's description in the GSW Bulletin. X is the lecture contact time per week; Y is the lab or studio contact per week; Z is the credit hours. A typical three semester hour lecture class will appear as 3-0-3, while a typical science lab will be 0-3-1, and a typical physical education activity course will appear as 0-2-1.

<sup>1</sup> Approved April 4, 2012 by Deans/Directors Council

Approved April 20, 2012 by the Committee on Academic Affairs  
Approved April 25, 2012 by the Faculty Senate  
Approved by April 27, 2012 by General Faculty

## Assignment of Grades

It is the responsibility of each faculty member to determine the requirements for each grade in each of his or her courses. It is also the responsibility of the faculty member to inform the students enrolled in a course of the expectations and requirements which must be met in order to earn each grade. The students must be informed in writing of the requirements as specified in the section of this handbook entitled, "Information Provided by Faculty Member for Students (III, D.)." **It is the responsibility of faculty to submit midterm and final grades for all courses by the published deadline.**

Changing the permanent record of a student is a serious matter; consequently, a faculty member should be especially careful in determining a grade for a student and should request a change of grade only when it is clearly justified. If a change is justified, it must be requested on a "Change of Grade" form with clear justification given; and it must be approved by the department chair and the dean of the school.

The following statement governs the matter of an administrator changing the final grade (A, B, C, D, F, S, U, WF, or P) assigned by an instructor:

1. The award of final grades to students for academic work represents an essential element of academic freedom. When an academic administrator is asked to review or change a grade which represents the substance of a genuinely academic decision, the administrator must give great deference and weight to the professional judgment of the faculty member awarding the grade.
2. A faculty member must have the widest range of discretion in making judgments regarding the academic performance of a student and in determining the student's entitlement to a final grade for academic work.
3. An academic administrator may not override or change a grade unless it is a substantial departure from accepted academic standards and practices. Any changes of grade can be made only after a reasonable attempt has been made at consultation with the faculty member who originally assigned the grade.
4. A faculty member who wishes to appeal the decision of an academic administrator to override or change a final grade may appeal that decision in writing through levels of supervision.

## Re-Examinations for Seniors

1. A senior preparing for graduation within two (2) semesters who earns a final grade of F or D may have the opportunity of one re-examination in that course. After reviewing the eligibility requirements for re-examination with the instructor of the course (based on the conditions listed below), the student must request permission for the re-examination in writing from the Vice President for Academic Affairs. The instructor will be informed in writing whether permission has been granted. Conditions for re-examinations include the following:
  - a. The original course grade earned must not be the result of a violation of the Policy of Academic Integrity or the instructor's written policy on course attendance.
  - b. It must be mathematically possible to achieve the necessary passing grade in the course using the result of the re-examination.
  - c. The course must be a non-core course numbered 2000 or above which is necessary for graduation.

- d. There must be no opportunity to repeat the course before the scheduled graduation.
  - e. Graded assignments for which re-exam may occur include an examination, a project, a presentation, a paper, or another assignment as defined by course requirements. The assignment to be repeated will be determined by the instructor of the course.
  - f. This re-examination policy cannot be applied in more than two courses.
  - g. The request for the re-examination must be made within thirty (30) days of the end of the term in which the grade was received.
2. Graduating seniors who fail the tests given by the Department of History and Political Science to meet the geography, U.S. history/Georgia history, or U.S. Constitution/Georgia Constitution requirements are entitled to a single retest in the deficient area during the term immediately preceding their graduation date. Retests are limited to two areas. Students in this situation should contact the secretary of the Department of History and Political Science.
  3. According to the Board of Regents procedures, this policy does not apply to the Regents' Testing Program.

### **Incompletes**

An "I" indicates that the student was doing satisfactory work but, for non-academic reasons beyond his/her control, was unable to meet the full requirements of the course during the term scheduled. The individual faculty member assigning the "I" has the responsibility for documenting the work to be completed. This documentation is to be filed with the academic dean or department chair at the time grades are submitted. A completed copy of the form "Incomplete Grade Assignment" must be submitted to the academic dean/department chair at the time a grade of Incomplete (I) is assigned, and a copy must be attached to the "Change of Grade" form when the "I" is cleared.

**Students who for non-academic reasons stop attending class prior to midterm should withdraw from the course. A grade of "I" cannot be assigned in this situation.**

For the undergraduate or graduate student, an incomplete must be removed before the end of the following term whether or not the student is enrolled; otherwise, the incomplete will be recorded as "F". A time extension for completing an incomplete requires a written request by the instructor to the Vice President for Academic Affairs explaining the unpreventable delay and written approval by the Vice President for Academic Affairs. The extension must be requested prior to the end of the term at the end of which the incomplete is automatically changed.

### **Schedule Changes**

#### **Adding or Dropping Courses**

Following registration for the term, students may add or drop courses during the published add/drop period.

- Students must discuss adding or dropping courses with their advisor.
- Students who enter courses after the first day of class are responsible for making up missed assignments.
- Students may add or drop a learning support course only with the approval of the Chair of the Department of English and Foreign Languages. Students enrolled in both Learning Support classes and degree credit courses cannot drop the Learning Support courses without dropping the degree credit courses as well.
- Students may not drop a Regents' remediation course without the approval of the Registrar or the Chair of the Department of English and Foreign Languages.

After the published add/drop period, students may adjust their schedules only by "withdrawal".

(See below.)

### **Withdrawal from a Course**

After the add/drop period, a student must officially withdraw from a course by completing the "Withdrawal from Class" form available in the Registrar's Office. This form must be returned to the Registrar's Office upon completion. The student is fully responsible for collecting the appropriate signatures and submitting the completed form to the Registrar's office.

- Withdrawal from class without penalty requires the student to complete the Withdrawal from Class form and return it to the Registrar's Office by the published "no-penalty" date of one week after midterm. A student following this procedure will receive a grade of W (Withdrawn).
- Withdrawal from class without penalty will not be permitted after the published 'no penalty' date except for non-academic reasons. Documentation must be provided by the student to receive a W rather than a WF (Withdrawn Failing).
- Students with Learning Support requirements who are enrolled in both Learning Support courses and degree credit courses may not withdraw from the required Learning Support courses with a "W" unless they also withdraw from the degree credit courses.

All withdrawals from class must be approved and completely processed before the last day of classes. A student who does not officially withdraw from a class will receive a grade of F in that course for the term.

### **Withdrawal from the University**

Students withdrawing from all classes and exiting the University after the first day of class must meet with the Director of the Resource and Referral Center to initiate the official "Withdrawal from the University" process.

- Withdrawal from the University prior to the "no-penalty" date of one week after midterm will result in grades of W (withdrawn) for all courses.
- Withdrawal from the University after the "no-penalty" date will result in grades of WF (withdrawn failing) except for documented non-academic reasons.

All withdrawals from the University must be approved and completely processed before the last day of classes. The student is fully responsible for supplying all pertinent documentation to the Director of the Resource and Referral Center.

Failure to follow the proper procedure to withdraw from the University will result in grades of F in all courses, and no refund will be given.

### **Student Attendance Policy**

Students are expected to attend all classes. If an absence is necessary, the student is responsible for reporting this fact to the instructor; in such cases, each instructor will take whatever action he or she deems necessary. In writing and within the first week of the term, faculty members will make their expectations concerning attendance clear to the students enrolled in their classes.

Penalties for excessive absences in each course are set at the beginning of each term by the faculty member teaching that course. Excessive absences may result in the student's receiving a grade of "F". Students with excessive absences may be subject to disciplinary suspension from the University. In a case involving possible suspension, the Dean for Students shall refer the case to the Faculty Student Judiciary upon the request of the student.

### **Student Absence Policy for University Sanctioned Events**

Faculty members will set policies for absences from class and the effect absences may have on final grades. They will make their expectations concerning absences known to their students in writing during the first week of class.

However, a student who is absent from a class as a result of representing this institution at a University-sanctioned event will not be penalized for the absence. In these cases, the student will be given an opportunity to complete any work that may have been missed as a result of the absence. It is the student's responsibility to notify the instructor in advance of an anticipated absence.

For an event to be sanctioned by the University, approval by the Office of Academic Affairs must be obtained in advance of the event.

Any exceptions to this policy must be approved by the Vice President of Academic Affairs.

### **Student Absence Policy for Ordered Military Duty**

For the purpose of this policy, ordered military duty shall mean any military duty performed in the service of the State or the United States, including, but not limited to, service schools conducted by the armed forces of the United States.

Students who must miss class for ordered military duty will not be penalized and will be given an opportunity to complete any work missed as a result of the absence. The student should provide documentation of the ordered military duty in advance of the absence and make arrangements with the instructor to make up missed work. For service or training requiring excessive absences or the inability to complete a semester's work, the student may be eligible for Military Withdrawal from the course.

## **Administrative Withdrawal From a Course**

### **During the First Week of Classes**

Registered students who attend none of the class meetings of a course during the first week of classes, do not inform the instructor of their intentions to remain in the course or do not drop the course within the published period will be administratively withdrawn from the course. It is the responsibility of the faculty member to document the absences.

The faculty member will inform the Registrar that the student is not attending classes by notation on the verification roll provided after the add/drop period.

Students will be contacted by the Registrar and informed that they will be administratively withdrawn if they do not contact that office by a specified date.

### **For Excessive Absences**

It is the responsibility of each faculty member to determine for his or her class what constitutes an absence, what constitutes "excessive absences", and the relationship of absences to final course grades. It is also the responsibility of each faculty member to so inform each student in writing at the beginning of the course.



The options of a faculty member for assigning a grade to a student with excessive absences include the following:

1. Assign a grade of "F" at the end of the term. The instructor must enter the last date of attendance on the final grade form in RAIN for every student who earns the grade of "F". The Department of Education requires this documentation for all students receiving federal financial aid funds.
2. Request administrative withdrawal of the student with the assignment of a grade of "WF".

If a faculty member intends to assign a grade of "F" for excessive absences, then no further action is required by the faculty member other than to be sure the absences are documented.

If a faculty member wishes to request administrative withdrawal from a course of a student with a grade of "WF", the faculty member should take the following actions:

1. Write a letter to the student to remind the student of the policy on absences and inform the student that he/she must contact the faculty member within one week or action will be initiated for administrative withdrawal and the assignment of a grade of "WF". Please note that this step might allow some reconciliation in the event that the student contacts the faculty member. The guidelines issued at the beginning of the term should reflect the possibility. The letter should be addressed to the student at the campus post office address and to the student's home address.
2. If the student does not contact the faculty member within one week the faculty member should address a memorandum to the Registrar requesting that the student be administratively withdrawn with a grade of WF, send a copy to the student at the campus post office address and to the student's home address.

### **Referral of Students for Counseling**

Counseling Services provides counseling for students who are referred by faculty members. It is important that students are referred immediately upon even a suggestion of a problem in order for counseling to have any impact upon performance. The three reasons for which a faculty member will normally refer a student for counseling are as follows:

1. a student having academic difficulty of a type with which the faculty member might not be trained to address.
2. personal problems which affect academic performance.
3. absences that affect academic performance but have not reached a point of being defined as "excessive".

### **Academic Renewal**

Any degree-seeking student who has experienced academic difficulty, who has not attended any post-secondary institution for a period of five years and who wishes to make a fresh start may apply for Academic Renewal. Former Learning Support students may apply for Academic Renewal only if they successfully completed all Developmental Studies requirements prior to the commencement of the five year period of absence.

A student re-enrolling after a five year absence from post-secondary institutions must apply for Academic Renewal within two semesters after re-enrollment or one calendar year, whichever comes first. If a student is granted Academic Renewal, a new grade point average will be established

according to the following guidelines:

1. A Renewal GPA is begun when the student receives approval for Academic Renewal and includes all course work completed following the re-enrollment.
2. The Academic Renewal GPA will be used for determining academic standing and eligibility for graduation.
3. All previously attempted course work continues to be recorded on the student's official transcript.
4. To earn a degree, a student must meet the GSW residency requirements after acquiring Academic Renewal status.
5. At least 50% of work toward a baccalaureate degree must be completed after the granting of Academic Renewal status for a student to be eligible for honors at graduation.
6. Academic credit for previously completed course work -- including previous transfer course work -- will be retained only for courses in which an A, B or C grade has been earned.
7. Retained grades are not calculated in a Renewal GPA. Such credit is considered in the same context as transfer credit, credit by examination, and courses with grades of "S".
8. Courses with D or F grades must be repeated at GSW if they are required in the student's degree program. Further, all remaining courses for the current degree objective must be completed at GSW, i.e., no transient credit will be accepted.
9. Applicability of retained credit to degree requirements will be determined by the degree requirements currently in effect at the time Academic Renewal status is conferred on the student. Specific GSW program regulations must also be met.
10. A student can be granted Academic Renewal status only one time.
11. Transfer Credit.
  - a. A student who has been suspended from GSW and has attended one or more other System institutions during the period of suspension will not be eligible for Academic Renewal.
  - b. A student who has not been suspended from GSW but who has been absent from GSW five years or more and who has attended a school other than this institution during that period of absence may choose only one of the following options:
    - (1) A student may return to GSW subject to all relevant transfer and reentry policies. No renewal GPA is calculated and transfer credit will be granted for applicable courses taken during the absence.
    - (2) A student may apply for Academic Renewal. If Academic Renewal status is approved, no transfer credit will be granted for course work completed during the absence.
12. Any scholastic suspensions which occurred in the past shall remain recorded on the student's permanent record.
13. The Renewal GPA begins with the term following re-enrollment. If a student is denied Academic Renewal and subsequently does not re-enroll, he/she may resubmit an Academic Renewal application after no less than one year has passed since the initial petition.

14. The granting of Academic Renewal does not supersede financial aid policies regarding Satisfactory Academic Progress.
15. The granting of Academic Renewal does not supersede the admissions requirements of certain programs, e.g., teacher education, nursing, which require a specific minimum grade point average based upon all course work.

A student may apply for Academic Renewal in the Registrar's Office.

### Final Examination Schedule

A final examination schedule for each term is developed and distributed by the Office of the Vice President for Academic Affairs for undergraduate and graduate courses offered on campus. **This schedule should be adhered to by all faculty members.** If a separate examination is given on the laboratory phase of a course, it may be scheduled on the laboratory period immediately prior to the regular examination schedule. Off campus course examinations will be scheduled by the faculty member with the approval of the academic dean who will insure that adequate instructional time has been completed. Area Teacher Education Service course examinations will be given at the last scheduled meeting of the class.

**Exceptions to the above policy** should be discussed with and approved orally by the appropriate academic dean or department chair. Then the request should be made in writing to the Office of the Vice President for Academic Affairs. The approval from the Office of the Vice President for Academic Affairs in writing must be received before departing from the regular examination schedule.

### Credit by Examination

Georgia Southwestern State University has an established program for awarding credit by examination. The general conditions related to awarding credit, the applicable testing programs, and standards for awarding credit are outlined below:

1. General Conditions for Awarding Credit by Examination
  - a. A maximum of 30 semester hours will be accepted from the combined sources of correspondence work, extension work, and credit by examination.
  - b. No student will be permitted credit by examination for a course after he/she has once enrolled in the course.
  - c. For credit to be awarded and recorded, the candidate must be an accepted and enrolled student at Georgia Southwestern State University.
  - d. Credit earned by examination will be recorded on the student's record by course, course number, and semester hours earned. No grade or grade points will be assigned.

2. Testing Programs

- a. **Advanced Placement Program** of the College Entrance Examination Board

Advanced Placement Course	Minimum Score for Awarding Credit	GSW Course Credit	Semester Hours Credit_____
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American History	3	HIST 2111, 2112	6
Biology	3	BIOL 1107, 1107L	4
	5	BIOL 2107	4
Calculus AB or Calculus BC	3	MATH 1120	4
Chemistry	3	CHEM 1211, 1211L	4
Computer Science A	3	CSCI 1301	4
Computer Science AB	3	CSCI 1301, 1302	8
English	3	ENGL 1101	3
European History	3	HIST 1112	3
French Language	3	FREN 1001	3
	5	FREN 1001, 1002	6
History of Art	3	ARTF 2061	3
Studio Art: Drawing	3	ARTF 1010	3
Studio Art: Port	3	ARTF 1020	3
Macroeconomics	3	ECON 2105	3
Microeconomics	3	ECON 2106	3
Elementary Harmony I	3	MUSC 1201	3
Physics B	3	PHYS 1111	4
	5	PHYS 1111, 1112	8
Physics C (mechanics)	4	PHYS 2211	4
Physics C (E&M)	5	PHYS 2212	4
Spanish Language	3	SPAN 1001	3
	5	SPAN 1001, 1002	6
Statistics	3	MATH 2204	3
U.S. Govt and Politics	3	POLS 1101	3

**b. Foreign Language Tests**

Foreign Language Tests - Up to 9 hours of credit may be awarded in either French or Spanish for passing departmentally administered examinations. Consult the English and Foreign Languages Department, English Building, Room 227, or call (912) 931-2183 for further information or to arrange for testing.

**c. General Examinations of the College Level Examination Program**

General Examination	Minimum Score for Awarding Credit	GSW Course Credit	Hours Credit
English	470	ENGL 1101	3
Humanities	470	ENGL 2111	3
Natural Science	570	BIOL 1000, 1001	4

**d. Subject Examinations of the College Level Examination Program**

Subject Examination	Minimum Score for Awarding Credit	GSW Course Credit	Hours Credit
American Government	50	POLS 1101	3
American History 1: Early Colonization to 1877	50	HIST 2111	3
American History 2: 1865 to the present	50	HIST 2112	3

American Literature	50	ENGL 2130	3
Calculus with Elementary Funct	50	MATH 1120	4
College Algebra	50	MATH 1111	3
Composition, Freshmen	50	ENGL 1101	3
English Literature	50	ENGL 2120	3
French, Level I	50	FREN 1002	3
French, Level II	50	FREN 2001, 2002	6
General Biology	50	BIOL 2107	4
General Chemistry	50	CHEM 1211, 1211L	4
General Psychology	50	PSYC 1101	3
Human Growth and Development	50	PSYC 2103	3
Humanities	50	ENGL 2110	3
Information Systems and Computer Applications	50	CIS 1000	2
Intro. Management	50	MGNT 3600	3
Intro. Accounting	50	ACCT 2101	3
Intro. Business Law	50	BUSA 3090	3
Intro. Marketing	50	MKTG 3800	3
Intro Macroeconomics	50	ECON 2105	3
Intro Microeconomics	50	ECON 2106	3
Intro Sociology	50	SOCI 1101	3
Spanish, Level I	50	SPAN 1002	3
Spanish, Level II	50	SPAN 2001, 2002	6
Trigonometry	50	MATH 1112	3
Western Civ 1: Ancient Near East to 1648	50	HIST 1111	3
Western Civ 2: 1648 to Present	50	HIST 1112	3

**NOTE:** For further information about the College Level Examination Program, the registration procedure for the test(s), and test dates, direct your request to the Registrar's Office.

## Textbooks

Textbook orders should be turned in to the Campus Bookstore by department heads and are due on the dates listed in the Academic Affairs Calendar.

Textbook adoptions may now be submitted online at the following web address: <http://canes.gsw.peachnet.edu/~books/case/adoption.html>. These forms are active and adoptions can be submitted from these pages temporarily. For security reasons the bookstore needs to be notified of intent to use the forms. The bookstore will confirm each order once it is received. A password will be required and can be obtained from the Campus Bookstore to allow entry to the adoption site, and the above security measures will no longer be necessary. Copies of department orders may be requested by the Vice President for Academic Affairs.

The bookstore website now has an online searchable database available for faculty and students. This search will return information about the textbooks being used for courses for which adoptions were received by the Campus Bookstore. The database will be as up to date as possible on the first day of each term. The link for the searchable database <http://canes.gsw.peachnet.edu/~books/> is on the bookstore website.

It shall be the duty of the department heads to notify the textbook manager in writing at the time the adoption is placed whether such books will be used for subsequent terms. At the end of each term the Campus Bookstore will provide a list of these textbooks to a wholesale buyer so that books being

used the following term can be purchased from students for resale to the bookstore.

Faculty members who wish to change texts which are used by more than one faculty member should discuss the proposed change with the department chair or academic dean and the other faculty members involved.

Desk copies of a textbook should be ordered from the publisher by the department. Desk copies can be purchased from the Campus Bookstore, but the department will be charged the retail price. A signed internal requisition must be submitted to the bookstore at the time of the purchase. If the book is returned to the bookstore in saleable condition before midterm of the term in which it was purchased, a credit memo will be issued for the full amount. Requisition forms and desk copy forms may be obtained from the academic dean or department chair.

## **Instructional Materials**

School and departmental budgets provide funds for supplies, equipment, and other instructional materials. This fund is administered by the academic dean or department chair. Instructors should list their needs and submit the list to the dean/chair. The dean/chair in turn will complete the proper Departmental Purchase Request form and route it accordingly. The dean/chair will normally have a supply of paper, pencils, etc., for distribution to his/her faculty upon request.

## **Policies and Procedures of the Committee on Academic Affairs**

I. The Committee on Academic Affairs (henceforth CAA or the Committee), as provided for in the "Statutes," is a standing committee in the faculty and administration shared governance system of the University. It is responsible for approving substantive change to the curriculum, reviewing academic policies, and overseeing academic advisement.

II. The President appoints the members of the CAA annually. The Committee is composed of about 15 active faculty including the Academic Vice President, the Associate Vice President for Academic Affairs, and the University Registrar and two student government members. Ex-officio members and student members are full voting members. The Committee elects the Committee Chair and Secretary annually. As defined by the Statutes, Chairs are to be elected from faculty members with previous service on the Committee.

III. The Committee's policies and procedures:

1. An electronic copy of requests to add a course or program, to revise a course or program, or to deactivate a course or program must be sent to the CAA Chair at least 10 days prior to a scheduled meeting; request forms may be found at [http://sacs.gsw.edu/sacs/SACs/IEP\\_Web/Academic\\_Approval.htm](http://sacs.gsw.edu/sacs/SACs/IEP_Web/Academic_Approval.htm). One hard copy of any proposal, containing all necessary signatures, should also be sent to the CAA chair; this is the official copy of the proposal. Only the head of an academic or administrative unit may submit proposals; individual faculty may not submit course or program proposals except through their unit head. Proposals for the addition of new programs must be submitted to the Deans' and Directors' Council prior to submission to the CAA.
2. The CAA Chair distributes electronic copies of the proposals, along with an agenda and minutes of the previous meeting, to the Committee members.
  - a. Proposals are sent to committee members at least one full work-week before the meeting in order for the members to consider them carefully. This procedure may be suspended item by item by majority vote at the meeting.
  - b. Copies of the proposals, agenda, and minutes are sent to each school Dean prior to each meeting.

3. The same forms are to be used for submissions to this Committee, the Teacher Education Council, and to the Committee on Graduate Affairs.
  - a. The Committee on Graduate Affairs has responsibility for the graduate courses, programs, and policies.
  - b. All courses, programs, and policies pertaining to undergraduate teacher certification programs should be approved by the Teacher Education Council before submission to the Committee.
  - c. Course changes may be submitted for file purposes only. Examples of "Submissions for File" include changes to course name or number where the course remains substantially the same. New course outlines with the changes need to be submitted along with the course change proposal. Revisions "Submitted for File" are not put to a vote but recorded in the minutes and forwarded along with approved proposals, although the Committee may decide that a proposal is a substantive change and return it for resubmission before putting it to a vote.
4. Proposers or their designees are required to attend the meeting when the Committee considers their proposals. Proposers or their designees attend in order to respond to any questions the Committee might have about the proposal. If the proposer or his or her designee is not in attendance, the Committee will table the proposal. The proposer or designee does not have the right to make a presentation but may be invited to do so by the Chair.
5. Meetings are conducted according to Robert's Rules, current edition.
6. A quorum is a majority of the members working on campus that term.
7. The minutes from the previous meeting are considered first and approved. Next, a date for the next meeting is agreed upon. Although not according to Robert's Rules, the Chair with the informal agreement of the Committee may change the order of the agenda.
8. As provided in the Statutes, there are two standing subcommittees of the CAA: Academic Advisement and Academic Standards. The CAA Chair appoints sub-committee members and the sub-committees themselves elect subcommittee chairs.
  - a. The Academic Advisement Sub-committee oversees academic advisement.
  - b. The Academic Policies Sub-committee reviews academic policies.
9. Instructions for filling out forms may be found at [http://sacs.gsw.edu/sacs/SACs/IEP\\_Web/Academic\\_Approval.htm](http://sacs.gsw.edu/sacs/SACs/IEP_Web/Academic_Approval.htm).
10. Some proposals must be submitted to the Faculty Senate and a General Faculty meeting for approval.
  - a. Proposals that must go to the Faculty Senate and the Faculty include new programs, substantive program changes, establishment of or substantive revision in policies, and all changes in the Core Curriculum, Physical Education requirements, and UNIV 1000.
  - b. Proposals that do not need to go to the Faculty Senate include new courses, course revisions, minor program revisions (as a change in major elective choices), and minor policy changes. For example, the establishment of a policy to allow CLEP credit and the establishment of passing scores for all accepted tests would need approval of the Senate and Faculty, while a proposal to change some passing scores would not.
  - c. The Committee may decide to submit other items to the Faculty Senate based on such factors as the nature of the change, or number of students affected.
11. If a proposal is approved, the Chair will sign and date on the appropriate line of the proposal form.
12. Following the meeting, the Chair will assemble packets of the agenda, approved minutes of the previous meeting, and copies of all proposals. The packets are forwarded to the Office of Academic Affairs, the Registrar, and to the James Earl Carter Library for file.

## **Distance Education Policy**

Georgia Southwestern State University is committed to providing personalized and challenging educational experiences that stimulate intellectual inquiry by means of learner-centered approaches. To achieve these ends, the University offers distance education opportunities that comply with the principles of good practice formulated by the Western Interstate Commission for Higher Education (WICHE) and accepted by the Southern Association of Colleges and Schools (SACS). This statement details the areas

of good practice to which the University is committed.

#### DEFINITION:

This University defines distance education as a formal educational process in which the majority of the instructional interaction occurs when student and instructor are separated geographically. Instruction may be synchronous or asynchronous. Distance education may include electronic correspondence, audio, video, computer technologies and the Georgia Statewide Academic and Medical System (GSAMS). This policy shall apply to all credit-bearing courses and programs offered through distance education at Georgia Southwestern State University.

#### CURRICULUM AND INSTRUCTION:

The University's faculty assumes responsibility for and exercises control over distance education, ensuring both the rigor of programs and the quality of instruction. Furthermore, the faculty recognizes that Distance Education implies course design that utilizes the advantages of the delivery medium to achieve course objectives. The University ensures that the technology available to course designers is appropriate to the nature and objectives of its programs and ensures that materials, programs and courses are current.

Georgia Southwestern State University's policy regarding intellectual property is consistent with the University System of Georgia's recommendations.

#### FACULTY SUPPORT:

The University is committed to providing appropriate faculty support services specifically related to distance education. Institutional support includes, but is not limited to, providing adequate and up-to-date technology, providing appropriate technical assistance, such as help and training, and compensating faculty for the development of courses designed to be delivered entirely by remote means, such as the Internet or GSAMS. Faculty teaching distance education courses (including online courses) must provide students with an email address or a phone number. Each syllabus should contain an indication of how quickly students may expect a response. (4.8.2.4.2)

The University assesses the impact of distance education on faculty workload to ensure that distance education and traditional instruction can be usefully compared. The University recognizes distance education course development as valid scholarship for the purpose of tenure and promotion.

#### STUDENT SUPPORT:

The University is committed to providing distance education students with the same range of student services it provides to traditional classroom students, including admissions, financial aid, academic advising, delivery of course materials, and placement and counseling. The University also provides adequate means for resolving any complaints that distance education students may have (See *GSWeatherwane* at [http://www.gsw.edu/~activities/Student\\_Affairs/img/Weatherwane%2008-09.doc](http://www.gsw.edu/~activities/Student_Affairs/img/Weatherwane%2008-09.doc), **(Appendix I - academic grievances and Appendix K - non-academic grievances)**). The University provides students with advertising, recruiting, and admissions information that adequately and accurately represent the programs, requirements, and services available.

In addition, the University ensures that students admitted to distance education programs possess the knowledge and have access to equipment necessary to use the technology employed in the programs. The University provides aid to students who are experiencing difficulty using the required technology, including but not limited to help desk facilities to augment faculty assistance (See website for distance education at <http://www.gsw.edu/admissions/ugorientation.html>).



#### LIBRARY AND LEARNING RESOURCES:

The University ensures that students have access to and can effectively use appropriate library resources. In addition, the University monitors whether students make appropriate use of learning resources.

#### COMMITMENT TO SUPPORT:

Georgia Southwestern State University is committed to securing the funding necessary to provide the support to Faculty and Students enumerated above.

#### EVALUATION AND ASSESSMENT:

The University assesses student capability to succeed in distance education programs and applies this information to admission and recruitment policies and decisions.

The University evaluates the educational effectiveness of its distance education courses and programs by focusing on student learning outcomes, student retention, and student satisfaction to ensure comparability to campus-based courses and programs.

The University ensures the integrity of student work and the credibility of the degrees and credit awarded by being aware of and prepared for the opportunities for academic dishonesty afforded by distance education.

#### COMPUTER-ENHANCED INSTRUCTION:

Georgia Southwestern State University acknowledges that synchronous and asynchronous computer technologies are also used in education where the majority of the instruction takes place in a traditional classroom setting. Such computer-enhanced instruction should be considered when applying areas of this policy, such as Curriculum and Instruction, Faculty and Student Support, Library and Learning Resources, and Evaluation and Assessment.

### **GeorgiaVIEW LMS Technical Support Policy**

(in the part VI. Academic Affairs Policies (Committee on Academic Affairs) of the Faculty Handbook)

Instructional Technology will provide technical support to Faculty and Staff members who wish to use the GaVIEW Desire2Learn (D2L) learning management system.

Each semester courses are automatically created in GaVIEW via the Banner process for every instructor who is teaching a course. This is true for in-class and on-line courses. This will make it possible for instructors who are not teaching on-line courses to use GaVIEW as a supplement to their traditional classes.

Instructional Technology offers online tutorials and workshops on GaVIEW D2L. These tutorials and workshops cover the various tools available to help organize and manage a course, including file transfer, quiz management, posting course notes, managing students and use of the grade book. Instructors are welcome to bring any items they need incorporated into their courses.

It is the faculty member's responsibility to set up and maintain their course. This includes but is not limited to: putting up course content, creating quiz modules and posting other instructional material. Instructional Technology will work with faculty members to ensure that they have the ability to perform these duties. Instructional Technology will also provide one-on-one training as needed.

Support for GaVIEW D2L is available on a 24x7 basis via the [D2L Help Center](https://d2lhelp.view.usg.edu/) (here is the link to insert: <https://d2lhelp.view.usg.edu/>) (DHC). The DHC link is available on the GaVIEW Home page. The Center is designed to answer all questions regarding GaVIEW D2L from a Designer, Instructor, or Student perspective. This service can be accessed anytime, from anywhere. The on-line support center has technicians standing by to answer questions online via online chat or phone. They also have an extensive knowledge base that offers information and solutions for commonly asked questions or frequent problems encountered by GaVIEW users.

The GSW GaVIEW log-in page has a number of resources available for faculty and students including:

- Information and instructions on how to log in to GaVIEW D2L
- Browser checker on the GaVIEW login page
- GaVIEW Student Orientation
- Faculty Resources page with tutorials, useful links, and faculty development materials
- D2L Help Center and GSW GaVIEW help links
- Downloads page with the downloadable software
- GaVIEW Maintenance schedule
- Link to the Respondus (third party software) website
- Announcements - This section will inform faculty/staff and students of any updates concerning GaVIEW

There are also Desire2Learn tutorials available after logging in to GaVIEW including the following on-line courses:

- D2L Self Paced Tutorial for faculty
- D2L Student Tutorial for students

Information for help from GSW is also available via e-mail at [gaview@gsu.edu](mailto:gaview@gsu.edu). This email address is active during normal business hours.

Instructional Technology offers technical support by phone and email and will work with faculty members to resolve any problems they encounter with GaVIEW D2L. The contact information is as follows:

Contact: Alla Yemelyanov

Phone: 229-931-2969 or 229-931-2074

Email: [gaview@gsu.edu](mailto:gaview@gsu.edu)

### **Adoption of a New Course or a New Program**

A new undergraduate program proposed by a school or department must be approved by the Committee on Academic Affairs. A new graduate program proposed by a school or department must be approved by the Graduate Council. The new program will then be presented through the Faculty Senate for consideration by the entire faculty. Programs approved by the faculty must be submitted to the Chancellor for action by the Board of Regents. New undergraduate and graduate courses proposed by any school or department must be presented to the Committee on Academic Affairs and Committee on

Graduate Affairs respectively, and when it pertains to teacher education programs, to the Committee on Teacher Education.

## **<sup>1</sup>Substantive Change Policy**

**Definition (taken verbatim from SACSCOC Policy Statement):** Substantive change is a significant modification or expansion of the nature and scope of an accredited institution. Under federal regulations, substantive change includes.

- Any change in the established mission or objectives of the institution
- Any change in legal status, form of control, or ownership of the institution
- The addition of courses or programs that represent a significant departure, either in content or method of delivery, from those that were offered when the institution was last evaluated
- The addition of courses or programs of study at a degree or credential level different from that which is included in the institution's current accreditation or reaffirmation.
- A change from clock hours to credit hours
- A substantial increase in the number of clock or credit hours awarded for successful completion of a program
- The establishment of an additional location geographically apart\* from the main campus at which the institution offers at least 50 percent of an educational program.
- The establishment of a branch campus
- Closing a program, off-campus site, branch campus or institution
- Entering into a collaborative academic arrangement such as a dual degree program or a joint degree program with another institution
- Acquiring another institution or a program or location of another institution
- Adding a permanent location at a site where the institution is conducting a teach-out program for a closed institution
- Entering into a contract by which an entity not eligible for Title IV funding offers 25% or more of one or more of the accredited institution's programs

**\*Note that in this context "geographically apart" also refers to distance education programs.**

Any academic or administrative unit at GSW that plans to implement a change to an academic program that will be substantive as defined above must insure that the proposed change or changes have received approval from the GSW's SACSCOC Liaison, the appropriate faculty committee(s), the Faculty Senate, the Faculty, and the Board of Regents, if applicable, in sufficient time to allow prompt notification of SACSCOC. Since SACSCOC notification for changes such as degree level change and initiation of a new location are required one year in advance of program implementation, programs need to plan accordingly. Most other forms of substantive change require notification six months prior to implementation, and therefore, changes proposed for implementation fall term of a given academic year, must have been approved at the Fall General Faculty meeting in the year prior to implementation. Similarly, changes proposed for implementation in the spring term of a given academic year must be approved at the Spring General Faculty Meeting in the year prior to implementation. Any proposed substantive change must be approved by GSW's SACSCOC Liaison before submission to the appropriate faculty committee(s).

<sup>1</sup> Approved by GSW Faculty 04/27/12

## **Records Retention Policy for Faculty**

1. Key principles of confidentiality for student records.
  - a) The Family Educational Rights and Privacy Act (FERPA) states that student information must be kept confidential. In short, faculty can discuss a student's grades privately with each individual student,

but are not allowed to share grades with the student's friends, family members, or other students. Students must sign a waiver form before grade information can be shared with parents or guardians.

b) Minor students: The grades and records of students who are minors must be kept confidential according to FERPA guidelines. Like adult students, waiver forms must be signed before grades and other student information can be shared with parents or guardians.

c) High school students in the ACCEL program have signed waiver forms that permit the sending of final grades to the high school's Registrar and/or Guidance Counselor. Midterm grades are not covered by this waiver. Midterm grades should only be sent to the high school if the student has a waiver form on file with the Registrar that allows midterm grades to be sent to the high school.

d) Information that must be kept confidential includes (but is not limited to):

- Grades and coursework: Exams, term papers, and projects.
- Records of daily attendance.
- Personal information: Addresses, telephone numbers, email, and student ID numbers.

2. Storage of student records: The need for confidentiality requires that records must be retained, stored, and destroyed in a secure manner. The goal is to prevent possible breaches of confidentiality.

a) Electronic records

- All electronic forms of student records (e.g., spreadsheets) must be stored on systems that are password-protected. The following systems are approved and recommended for storing student grades:
  - Password-protected faculty computers
  - Networked storage from GSW
  - Course management systems (examples: GeorgiaView, online systems from textbook publishers)
  - Turnitin.com, LiveText, and similar online educational services that have password protection.
- Encryption: Encryption makes it more difficult for unauthorized people to view confidential documents. The use of encryption for student records and information is highly recommended and should be used whenever possible. The following examples are encrypted systems:
  - Networked storage from GSW
  - The GeorgiaView online system
- Electronic documents should not be stored on systems that can be easily accessed by other people. The following storage formats are unsuitable for the storage of student records:
  - Removable storage media (examples: USB memory drives, CD-ROMS, floppy disks, and zip drives) are inherently insecure because they are portable. They can be easily lost or stolen. Data storage on removable media should be avoided or minimized whenever possible. If data must be stored on removable media, encryption of the data is recommended.
  - File sharing and Internet-based file storage systems that are unencrypted.
- Data segregation: Work files (e.g., Powerpoint presentations, student grades) and personal files (e.g., family photos) must have segregated data storage. USG policy does not specifically forbid the storage of personal files on work computers. However, personal files should be stored in a different location than work files in order to prevent possible mix-ups of work and personal information.
  - Data segregation example: Store all work-related files in the "my documents" folder of the computer's hard drive. Store all personal files in a "personal" folder that is not inside the "my documents" folder.

b) Paper records: Paper records (examples: grades, exams) should be stored in filing cabinets that are in locked rooms. The filing cabinets should be locked preferably. Paper records should not be kept in areas where students or student workers might be able to access them.

3. Communication of student records.

- a) An individual student's grades can be communicated to him/her through:
- Paper records handed directly to the student.
  - The grade book features of password-protected course management systems (example: GeorgiaView).
  - The email feature of course management systems (example: GeorgiaView).
  - Online educational systems that are password-protected (examples: Turnitin.com, LiveText).
- b) The following means of communication are insecure, therefore, unacceptable:
- Posting grade lists on an office door is insecure. Even when names are not used, students may be able to determine the grades of other students. Do not post lists of student grades on paper in public places.
  - Sharing grades over the telephone is insecure because there is no way to verify the identity of the person to whom one is speaking.
  - Unofficial email addresses (example: hotmail.com or yahoo.com email addresses) are insecure because there is no way to verify the identity of the people who own these email addresses.

4. Retention of student records.

- a) GSW policy on student coursework records (e.g., exams, home work, term papers, quizzes, etc.) is that these materials should be retained for at least one term after completion of the course except for grades that are contested.
- Reference: Page 110, #38 of the USG Records Retention Series A.
- b) For program assessment, grade and other coursework information can be retained for the period of assessment without identifying information.
- c) If grades are contested, the coursework records must be retained until the grade dispute is resolved.
- Reference: Page 110, #38 of the USG Records Retention Series A.
- d) Final grades will be stored by the Registrar's Office. There is no need for faculty to keep long-term records of final grades. These records should not be retained by faculty members.  
Reference: Page 107, #26 of the USG Records Retention Series A.

5. Destroying student records.

- a) When the retention policy has expired (see #4 above), all student records in the faculty member's possession should be destroyed.
- Electronic records: These should be deleted from the computer hard drive or the network drive.
  - Paper records: These should be destroyed through shredding.
- b) Grades and other student records that are stored on the GeorgiaView system should be destroyed in accordance with the GeorgiaView and online learning policy.
- c) Records in other proprietary systems (e.g., turnitin.com) are governed by user agreements. For example, students who submit papers to turnitin.com agree to turnitin.com's privacy agreement.
- turnitin.com's privacy pledge
  - turnitin.com's statement on legality, ethics, and FERPA compliance

6. Access to records and computer networks.

- a) Records and other sensitive data must be preserved in locations that cannot be accessed by

students, student workers, and the general public.

- b) Classroom computers: Steps should be taken to prevent students and other unauthorized users from accessing computers and the network.
  - Faculty should log off or shut down classroom PCs when the class is finished. Leaving classroom PCs on and logged into the network makes network resources available to students and other unauthorized users.
  - Empty classrooms should be locked whenever possible to prevent unauthorized access.
- c) Faculty offices: Faculty should lock their offices when they are not present in order to prevent possible access to confidential material.

7. Miscellaneous records that need to be secured.

- a) Advisement records that contain student grades
  - Any electronic files (example: spreadsheets) and paper records (example: midterm grade reports) used for advisement should be maintained similarly to course materials described above.
  - Midterm grade reports should be used to identify advisees who are struggling. Reports should be destroyed through shredding.
  - Advisee information on forms such as graduation checklists should be periodically reviewed for old or outdated files. Old electronic files and paper records should be destroyed.
- b) Other records that should be treated in the same manner as course data (secure storage of electronic and paper documents) include:
  - Scholarship and award applications
  - Job candidate records (e.g., letters of reference, grade transcripts)

## **VII. Comprehensive Program Review Policies and Procedures (Committee of Academic Affairs)**

### **Comprehensive Program Review of Academic Programs**

#### **Overview**

Comprehensive Program Review (CPR) of Academic Programs provides a common base for internal review and evaluation of all Georgia Southwestern State University (GSW) academic programs. The Faculty, Academic Unit Heads, and the Vice President for Academic Affairs participate in the CPR and incorporate CPR findings in their recommendations for short- and long-range institutional planning. As a collaborative venture between academic units and the Office of Academic Affairs, Comprehensive Program Review serves four primary purposes:

- To elicit informed judgments about how well an academic unit is performing given its collective resources.
- To make projections about emerging opportunities and the ways a unit may best take advantage of those opportunities.
- To assess how well a unit is implementing its strategic plan.
- To ensure that the unit has a strategic plan and is implementing its plan.

In addition, the CPR process assists academic units in maintaining high academic quality and stimulates change that enhances the unit's performance. When done well, the process is both an honest evaluation of current circumstances and a candid dialogue about future possibilities and mutual

commitments. The discussion and thought invested in the process leads to actions designed to increase the value of the unit's contributions to undergraduate and graduate education, to the disciplines and professions through the generation of new knowledge, and to society through application of knowledge and outreach.

GSW is accredited by the Southern Association of Colleges and Schools Commission on Colleges (SACS COC), and for the university as a whole to meet the requirements of reaffirmation, each unit within GSW must individually meet those requirements that apply to academic programs. A demonstrable relationship between an academic unit's mission and GSW's mission is a crucial basis for demonstrating compliance with the SACS COC accreditation principles that apply to academic programs. The specific accreditation principles that apply to academic programs include:

- Programs are of appropriate length for the level of degree, and embody a coherent course of study that is compatible with [the unit's] stated mission
- The number of full-time faculty members is adequate to support the mission of the unit and to ensure the quality and integrity of its academic programs
- The unit is composed of competent faculty members qualified to accomplish the unit mission and the goals of its programs
- The unit demonstrates that each of its educational program for which academic credit is awarded is approved by the faculty
- The faculty identifies expected outcomes for its programs; assesses whether it achieves these outcomes; and provides evidence of improvement based on analysis of those results
- The unit assesses student success with respect to program completion, job placement rates, and state licensing examinations, where appropriate.
- For each major in a degree program, the unit assigns responsibility for program coordination, as well as for curriculum development and review, to persons academically qualified in the field.
- The unit's curricula are designed so that students acquire and demonstrate college-level proficiency in general education and essential skills, including oral and written communication, scientific and quantitative reasoning, critical analysis and reasoning, technological competency, and information literacy. Assessment of student learning demonstrates that the unit's students have knowledge, skills, and competencies consistent with unit and institutional goals, and at graduation have achieved appropriate higher education goals
- The unit's use of technology enhances student learning and is appropriate for meeting the objectives of its programs
- The unit has adequate financial resources to support its mission and learning outcomes
- The unit has adequate physical facilities that appropriately serve the needs of its programs

In addition, units with graduate programs need to demonstrate that those programs also meet the following requirements:

- The unit's graduate programs are progressively more advanced in academic content than its undergraduate programs

- The unit structures its graduate curricula (1) to include knowledge of the literature of the discipline and (2) to ensure ongoing student engagement in research or appropriate professional practice and training experiences

Academic Programs in the School of Business, the School of Education, and the School of Nursing maintain external accreditation, and therefore, CPRs for these schools are aligned with the regular accreditation reviews, and follow the format dictated by their accrediting organization. The frequency of these reviews is determined by the external accrediting organization, although none exceeds ten years. Academic Programs in the College of Arts and Sciences, and the School of Computing and Mathematics participate in an internal CPR process as outlined below. Bachelor programs are reviewed every seven years, and graduate programs every ten; minor programs and single discipline specific certificate programs are reviewed as part of the regular CPR process at the same time as the degree programs in the academic unit that houses them. The General Education Program (the Core) is reviewed every five years at the time of the SACSCOC Interim Fifth-Year Report and the time of SACS COC reaffirmation, and multi-disciplinary certificate programs are reviewed every ten years as part of the SACS COC reaffirmation process. Academic Units undergoing either external or internal CPR are not expected to file annual reports for those academic years in which they are under review.

### **Responsibilities for CPR Process**

The Office of Academic Affairs oversees the CPR process by setting the schedule of internal reviews, or implementing the schedule set by the external accrediting organizations, and insuring that all parts of the process are complete; however, the process begins within the academic unit under review and places the following responsibilities on the faculty serving each program:

- Development of a self-study that draws evidence-based conclusions about the current strengths and areas for improvement of the program, shows how the program has improved since its last review, and identifies specific areas of focus for future improvement
- Participation in an external review of the program
- Development of a response to conclusions and recommendations of the external review, and of a strategic plan for enacting these recommendations.

Deans overseeing each program under review have the following responsibilities:

- Providing feedback on the self study while in development
- Recommending an External Reviewer to the Vice President of Academic Affairs
- Participation in all external reviews
- Forwarding completed self study, external review report, and unit response to the external review report to the Vice President of Academic Affairs
- Deans may choose to include their own conclusions or recommendations regarding the program under review.

In addition to overseeing the CPR Process, the Vice President of Academic Affairs has the following responsibilities:

- Participation in all external reviews
- Approving and inviting the External Reviewer



- Discussion of review results with the academic unit representatives and the deans
- Sharing the results of all CPRs with the Deans' and Directors' Council, the Institutional Effectiveness Committee, and the Administrative Council
- Placing all CPR documents in the CPR Repository on the Institutional Research web site.

### Timeline of Internal Reviews

Date	Tasks
August to November	Faculty complete Self-Study Report
Beginning of November	Draft of Self-Study Report due in Dean's Office
Beginning of December	External Review Committee selected
Beginning of January	External Review Visit scheduled
By the End of January	Revised Self-Study Report provided to External Review Committee visit.
By the End of March	External Review Committee reports due in Dean's Office
Mid-April	Response to External Review Committee Report due in Dean's Office
Beginning of May	Deans forward completed CPR documents to VPAA
June to July	VPAA shares and deposits completed CPR documents
Following October	Faculty presents plan to implement CPR recommendations as part of its annual assessment report.

### The Self Study

The self-study is intended to help faculty and administrators assess a unit's current situation, its emerging opportunities, and its plans for the future. The members of the unit itself undertake the self-study in order to take a thorough and reflective look at the unit as a prelude to developing plans for its future. The questions below are intended to guide a unit in its self study and planning efforts. They are also framed to focus the attention of the review team that adds an external perspective to the process. The self study narrative does not need to take the form of itemized questions followed by a specific answers, but each question that applies to the unit should be addressed somewhere in the self-study. Each self study should include an executive summary of the unit's strengths and areas for improvement, its progress since last being reviewed, and its plans for the future. In addition to addressing the guiding questions, the self-study narrative should contain a brief history of the unit and its programs, descriptions of all degree or certificate programs offered by the unit, and any other information that will enable the review team to make good use of their time on campus. Units are encouraged to provide data and data-driven analyses by making use of reports routinely available through Institutional Research, and their discipline's professional societies in addition to data collected by the unit.

#### Guiding Questions

Programs are of appropriate length for the level of degree, and embody a coherent course of study that is compatible with [the unit's] stated mission:

- What evidence exists that the unit offers degree programs consistent with its stated mission?
- What evidence exists that the unit's stated mission is consistent with GSW's mission?
- How does the unit ensure that each of its degree programs demonstrates coherence in sequencing, increasing complexity, and linkages between and among program components?
- How does the unit demonstrate that its programs are appropriate to higher education?

The number of full-time faculty members is adequate to support the mission of the unit and to ensure

the quality and integrity of its academic programs:

- How does the mission of the unit determine the number and type of faculty employed?
- How does the unit determine the number of full-time faculty needed to achieve its mission?
- What is the responsibility of the full-time faculty and do they constitute a sufficient resource for carrying out basic faculty functions?
- What are the ways in which members of the unit other than full-time faculty carry out some of these functions?

The unit is composed of competent faculty members qualified to accomplish the mission and goals of its programs:

- How does the mission of the unit influence the determination of the qualifications of the faculty in order to meet its goals?
- How does the unit determine the competencies of members of the faculty and demonstrate that the qualifications of the members of the faculty meet these competencies?
- How does the unit document the qualifications for each member of the faculty?
- How does the unit support faculty professional development?

The unit demonstrates that each of its educational programs for which academic credit is awarded is approved by the faculty:

- What is the process for developing and approving educational programs and who is responsible?
- What evidence exists to demonstrate that the unit places primary responsibility for the content, quality, and effectiveness of its curriculum with its faculty?

The faculty identifies expected outcomes for its programs; assesses whether it achieves these outcomes; and provides evidence of improvement based on analysis of those results:

- How are expected outcomes clearly defined in measurable terms for each program offered by the unit?
- What is the evidence of assessment activities for each program within the unit?
- What is the evidence for broad-based participation in assessment activities?
- How are periodic reviews in which programmatic outcomes such as retention, graduation rates, employer and alumni satisfaction, and the like assessed, reviewed, and used for improvements?

The unit assesses student success with respect to program completion, job placement rates, and state licensing examinations, where appropriate.

- Are the three indicators mentioned above appropriate to the mission of the unit?

- If so, how does the unit collect data to measure its level of success?
- If so, how does the unit use analyze and utilize its findings to improve its success?

For each major in a degree program, the unit assigns responsibility for program coordination, as well as for curriculum development and review, to persons academically qualified in the field:

- What evidence exists that the coordinator for each major, curricular area, or concentration in an undergraduate or graduate degree program has the qualifications and credentials for leadership in the development and review of the curriculum?
- What evidence exists that the coordinator provides oversight for assessing the quality of the curriculum for the respective undergraduate or graduate degree programs and for ensuring that the curriculum, as well as the delivery of the curriculum, is educationally sound?

The unit's curricula are designed so that students acquire and demonstrate college-level proficiency in general education and essential skills:

- For what specific college-level competencies within the general education program is the unit responsible?
- What evidence is available to show that students in the unit's programs have attained these competencies?
- How does the unit demonstrate that it identifies competencies that are college-level?
- How does the unit demonstrate that general education competencies are nurtured within its major programs?

The unit's use of technology enhances student learning and is appropriate for meeting the objectives of its programs:

- How is the unit using technology to enhance student learning?
- What evidence exists that the unit's use of technology is appropriate for meeting the objectives of its programs?
- How does the unit ensure faculty and student access to technology and to the training, use, and applications of technology?

The unit has adequate human and financial resources to support its mission and learning outcomes:

- Does the unit make the best possible use of resources it has?
- What is the process that the unit uses to address allocation of workload? How are workload allocations reviewed by the unit and how are decisions to reallocate made?

- Are there areas where other resources could be accessed or developed by the unit? For example, could the unit develop beneficial arrangements with other campuses or organizations? Engage in fund raising or entrepreneurial activities?
- When there are hiring opportunities in the future, what would be the two to three best areas to search for new faculty to increase the unit's effectiveness in achieving its mission and program outcomes?

The unit has adequate physical facilities that appropriately serve the needs of its programs:

- How do the unit's facilities contribute to or inhibit current research and scholarly objectives?
- How do the unit's classrooms and learning spaces, and the technology available therein, contribute to or inhibit the unit's teaching and learning objectives?
- How do the unit's teaching laboratories, if applicable, contribute to or inhibit the unit's teaching and learning objectives?

#### Questions for Units with Graduate Programs

The unit's graduate programs are progressively more advanced in academic content than its undergraduate programs:

- How has the unit clearly defined the content and rigor of post-baccalaureate degree programs?
- What evidence exists that the unit has learning outcomes for post-baccalaureate professional degree programs and its master's programs indicating that the programs are progressively more advanced in academic content than its undergraduate programs?

The unit structures its graduate curricula (1) to include knowledge of the literature of the discipline and (2) to ensure ongoing student engagement in research or appropriate professional practice and training experiences.

- How do the learning outcomes for graduate programs reflect expectations that students will demonstrate independent learning skills?
- What evidence exists that syllabi and degree requirements for graduate programs include activities that foster independent learning?
- How does the unit evaluate students' independent learning skills?
- How does the unit ensure that students are prepared for the independent learning required in graduate programs?

The material in the self-study should reflect continuous and ongoing planning, information gathering, self-review and use of results. The idea is to reflect on these things:

- What are we trying to do?

- How well are we doing it?
- How do we know?
- How do we use the information to improve?
- Do the improvements work?
- What assessment activities were planned? What activities are on-going? What activities were completed?
- What changes (if any) were implemented as a result of assessment? What changes (if any) were proposed but are not addressed yet?
- What curricular and/or degree changes have there been since the unit's last CPR, and why?

### **Format of the Internal Self Study**

Executive Summary should include (1-2 pages in Times New Roman 12pt or similar font, single-spaced with 1 inch margins all around):

- Major Strengths
- Areas for Improvement
- Key Opportunities
- Key Challenges
- Draft Strategic Plan to address weaknesses, take advantage of opportunities, and meet challenges (to the extent that it is possible, this plan should correlate to GSW's current strategic plan.).

Self Study Narrative should be limited to twenty-five pages (thirty for units with graduate programs), and should address all the guiding questions that apply to the unit. The narrative should include a brief history of the unit and its programs, descriptions of all degree or certificate programs offered by the unit, and any other information that will enable the review team to make good use of their time on campus, as well.

Appendices should be limited to the material necessary substantiate the claims made in the narrative that are not available on the unit's or the university's web site. The appendix must include a current vita for each tenured, and each tenure-track faculty member who has a full or part-time appointment in the unit. Each vita should be limited to four pages covering the period since the last CPR, and should not include personal information, such as home addresses or phone numbers, or cell phone numbers.

### **The External Review**

Since fresh perspectives improve assessment and planning, an external reviewer will be invited to familiarize him or herself with the unit and to take part in the deliberations about the unit's assessment and planning. External reviewers will be expected to provide candid assessments of the program's current strengths and weaknesses and their best judgment on where the unit should invest its intellectual and other resources in the future. The external reviewer will head the review team that will also include two GSW faculty members from outside the school or college that houses the academic unit under review.

The external review team will be chosen by the VPAA with advice from the academic unit, and the Dean

of the school or college. External reviewers will be established scholars whose areas of expertise represent a diversity of interests coinciding with the areas of importance to the unit and whose programs are regarded as successful, innovative, and effective in managing resources. At least one of the GSW Faculty members on the team should come from an academic unit that is externally accredited and have experience with assessment and planning. For units with graduate programs at least one of the GSW Faculty members on the team should come from an academic unit that also has graduate programs.

To help the VPAA identify appropriate external reviewer candidates, the academic unit provides a list of two to four programs or departments at other institutions that model different forms of excellence to which the unit aspires. To the extent that it is possible, recommended external reviewers should come from programs with roughly the same number of faculty and the similar financial resources; recommended reviewers should be from SACS COC accredited institutions, primarily from outside Georgia. To ensure no conflict of interest, individuals with particularly close relationships to the program (former faculty, former mentors or students of program faculty, research collaborators) should not be recommended and will not be used as external reviewers. The Office of Academic Affairs will identify and contact individual scholars at the institutions nominated and make arrangements with them for travel. The communications with the reviewers should be via the Office of Academic Affairs.

## **Procedures for the Review**

### Preparation of Reviewers

In preparation for the external review, the self study will be sent to all reviewers no less than four weeks prior to the review visit by the external reviewer. The reviewers, external and internal may request additional information from the academic unit up to two weeks prior to the review visit. The review team should consult with one another prior to the visit and come to a shared understanding of the primary issues to be investigated during the review visit.

### Arrangements for Reviewers

The Office of Academic Affairs will make the necessary arrangements for the consultants. The usual visit will last 2 ½ working days. Typically reviewers arrive Wednesday afternoon and leave Friday in late afternoon. The Office of Academic Affairs will develop an itinerary for the visitors in consultation with the unit and the Dean of the school or college. A campus visit is intended to foster conversations and observations that enable the reviewers to complete the job we ask of them. Time will be provided for the review team members to work together in private in order to complete at least a rough draft of the review report prior to departure from GSW. If requested, laptop computers will be provided during the campus visit to assist the team in drafting its report. The review team will be asked to share their preliminary observations with the VPAA and the VPAA's invitees in an exit interview.

The Office of Academic Affairs covers the cost of duplicating the self-study for the reviewers; mailing of the self-study; travel, meals, and housing for the reviewers; and reviewers' honorarium. The Office of Academic Affairs also covers the reasonable expenses of the internal members of the review team. Expenses for travel, meals, and housing will be reimbursed as quickly as possible after the necessary receipts and vouchers are provided. Once the final report is received by the Provost, the external reviewer will receive the honorarium.

### The Review Report

After reviewing all the pertinent information, the team will prepare a final report addressing how the unit's strengths can be maintained and improvements made in the future. If there are choices to be made, for example, among sub-disciplines for a unit's focal point, the alternatives should be outlined and critiqued. Obviously, if the University invested more resources in a program, the University would reap additional benefits. What the University asks of reviewers is a much more crucial task; they are asked to provide advice about the quality of what the unit does, how current resources are used, and how they might be used better to achieve the unit's aspirations.

The team should agree during its visit on a plan for preparing a single, consolidated report (typically about five pages of single-spaced text). Use of bulleting for items is acceptable. The report should address the items highlighted in the Self Study Executive Summary, as well as any other issues deemed pertinent by the review team. The report should conclude with recommended strategic priorities for the unit and GSW

designed to improve the effectiveness of the unit's programs.

#### Disposition of the Reports

The review team should forward their report to the VPAA no later than three weeks after the visit is completed. Copies will be forwarded to the unit, and to the unit's Dean, who each will have three weeks to respond in writing to the document, sending their responses to the VPAA. Final Reports from External Accrediting Agencies should also be submitted to the Vice President of Academic Affairs for review and will be distributed and responded to in the same manner as review team reports generated by the internal CPR process. The VPAA's Office will prepare the Office of Academic Affairs response and send it, along with copies of the consultants' report, unit's response and Dean's response, to the President. Copies of this packet and of the Self Study will be posted in GSW dedicated CPR area of the university web site, which is accessible to Deans, the unit, and others within the University who have been involved in the evaluation process. The VPAA will share the results of review with the Deans' and Directors' Council, the Institutional Effectiveness Committee, and the Administrative Council. Units will report progress on meeting the goals of their strategic plans as part of their annual assessment reports, as well as at the time of their next CPR.

#### Typical Schedule for Review Visit (beginning in evening, then through two days)

This list is intended to be neither exhaustive nor prescriptive; only the first two and last two items must occur in the order presented on list:

- Organizational meeting (agenda, logistics, university overview) – VPAA and Dean of School or College
- Unit Overview with unit head
- Undergraduate program overview with program coordinator and assessment committee
- Graduate program overview with graduate program coordinator and assessment committee, if applicable
- Meetings with subgroups of faculty (junior faculty, senior faculty, etc.)
- Meeting with undergraduates – undergraduates selected by unit (can be current students or alumni)
- Meeting with graduate students , if applicable–graduate students selected by unit (can be current students or alumni)
- Meeting with dean of unit – dean, which may include some of dean's staff
- Tour of facilities – organized by unit
- Review team meeting – private meeting to draft review report
- Debriefing with unit head and program coordinators
- Debriefing with VPAA and the VPAA's invitees

## **VIII. Business and Physical Plant Policies (Committee on Business and Finance)**

### **Purchasing Policies and Procedures**

No person, other than Business Services Procurement Personnel, is authorized to enter into any contract for equipment, supplies, materials or services. University procedures are based on state laws and formulated to comply with the Rules and Regulations of the Department of Administrative Services. Failure to follow proper procedures may result in the person placing an order being held financially responsible as provided by law.

Many office supply items are available through Materials Management. Catalogs are routinely furnished to all departmental offices. An Internal Requisition should be processed for scheduled delivery.

Some office supply items, not available through Materials Management, may be available in the Bookstore. An Internal Requisition is also used for these purchases.

Only the dean of the school or chair of the department may approve expenditures from that unit's budget.

Materials and services not available on campus shall be requested by the budget head and submitted to the Director of Procurement using a Departmental Purchase Request (DPR). A purchase order or other contractual instrument will be issued to cover the commitment. In the case of materials, they will be delivered to the Materials Management Office where they will be inspected and delivered to the ordering department. The department should inspect the material to assure that the order is correct and promptly notify Materials Management to clear the shipment for payment.

Small, "emergency" purchases may be made with PRIOR APPROVAL by the Procurement Office. This practice is not encouraged but will be permitted as necessary. Failure to plan is NOT justification for an emergency.

Purchasing laws and regulations apply to any function for which a university check is issued REGARDLESS OF THE SOURCE OF FUNDING.

Please contact your supervisor or Business Services if you are uncertain of any procedure. Business Services will conduct individual or group workshops whenever requested.

### **Work for Outside Pay**

To protect the integrity of the faculty-university work relationship, the following guidelines are to be followed:

1. The faculty member shall not engage in any occupations, pursuits, or endeavors (on part-time or full-time basis) which will interfere with the regular and punctual discharge of his official duties.
  2. Outside employment should not take priority over university functions at which a faculty member should be present.
  3. Equipment, supplies, materials, or clerical services of the University may not be used in the furtherance of outside work.
  4. The faculty member will consult with his/her department chair/academic dean before accepting a commitment to engage in any outside work or consulting for pay during times considered to be normal working periods.
- b. At the beginning of the academic year, each faculty member should review with his/her



academic dean/department chair any anticipated commitments involving work for outside pay.

## **Selection, Installation and Support of Computer Software and Hardware**

The following outlines the University's policy for selection, installation and support of university-owned computer systems.

1. Selection. When software or hardware is to be purchased, current standards for supported computer systems may be obtained from the Office of Instructional and Information Technology by contacting Technical Support or sending an electronic mail request to techsupp@canes.gsw.edu. The OIIT staff can assist in selection of items that are compatible with existing equipment and the campus network, and assure that proper software licenses are maintained.
2. Software. The staff in the Office of Instructional and Information Technology is responsible for installing licensed software on campus computer systems and for providing technical support for licensed software in consultation with vendors. However, they cannot be responsible for support of unlicensed software or improperly installed software. They also cannot always correct a problem with licensed software that was created by improper installation of software.
3. Hardware. The staff in the Office of Instructional and Information Technology will install computer hardware as well as support and maintain that hardware in consultation with vendors. The staff is not responsible for installation or performance of hardware that is not compatible with existing equipment and network.
4. Installations. The OIIT staff is committed to providing installation of hardware and software at the earliest possible date after delivery of equipment or software. Thus, it should not be necessary for anyone other than staff in the Office of Instructional and Information Technology to provide installations. The staff may not be able to provide proper support for a computer system if equipment or software is installed by persons other than staff in the Office of Instructional and Information Technology.
5. Adding devices and applications to the Campus Network. If a person or department wishes to add any network-based application or device, i.e., computer, printer, server, etc., to the campus network, the proposal should be reviewed by the Office of Instructional and Information Technology preferably during the planning stage, for the purpose of assessing the impact of the application or device on the resources of the network, as any networked application or networked device affects the performance to some degree of all applications and devices which depend upon the network.

## **Composition and Duties of the Publication Subcommittee of the Student Affairs Committee**

1. Composition of Publications Subcommittee

The Publications Subcommittee will consist of three faculty members appointed by the chair of the Student Affairs Committee, and two students appointed by the Student Government President. Advisors of all university publications shall be non-voting exofficio members. Editors of publications will be invited to open meetings.

2. Duties of the Publications Subcommittee

The Publications Subcommittee will recommend to the President of the University the selection and/or removal of the Advisor of the *Sou'wester*. The Publications

Subcommittee will select and/or remove the Editor of the *Sou'wester*. The Subcommittee will render opinions, when necessary, concerning (1) material alleged to be libelous and/or obscene, (2) alleged violations of policies and guidelines and (3) personnel disputes. The Subcommittee, upon request, will be available to offer advice about the publication of material. Annual reports and recommendations will be submitted to the chair of the Student Affairs Committee.

The Publications Subcommittee will hear complaints from faculty or any member of the University community according to the procedures specified in Section IX of the GSWeatherwane.

## Property Control Policy

### 1. Physical Plant Key Control Policy

The Key Control Policy has two objectives: (1) to limit the number of keys issued to the very minimum required, and (2) to afford rigid accountability of those keys that are issued.

- a. All requests for grandmaster keys must be submitted to and approved by the Vice President for Business and Finance.
- b. Master Keys to buildings will only be issued to department heads and their secretaries (if required) for their department.
- c. General faculty and staff will only be issued keys to their offices, the main building entrance, and required classrooms and/or laboratories.
- d. Students will not be issued keys to any academic or administrative facility.
- e. All keys will be issued by the Director of Physical Plant who will maintain appropriate records for accountability on all keys issued.
- f. All keys lost or stolen must be promptly reported to Public Safety, the Physical Plant Director and to the appropriate administrator.
- g. Terminating employees must turn in all keys issued to them prior to departure.
- h. A key may be used only by the person to whom the key is issued. Keys are not to be loaned to students for even temporary use.
- i. Any suspected improper or unauthorized use or possession of keys by anyone shall be reported to Public Safety immediately.
- j. Keys issued to contract custodians and/or other contracting services will be kept to the very minimum required to perform their services. No grandmaster key will be issued to contractors under any conditions. The manager of a contracting unit will maintain total accountability for the keys issued to him/her. This includes appropriate check out and sign in procedures.
- k. A physical inventory of all keys will be conducted at least annually by the Physical Plant Director.

### 2. Personal Property (Equipment) Control Policy

The purpose of the Personal Property (Equipment) Control Policy is to retain

accountability, control, and prevent loss of all equipment assigned to the various departments.

- a. While overall responsibility for university property is assigned to the Chief Business Officer of the institution, primary responsibility is with each academic dean/department chair.
- b. All deans/department chairs shall maintain a perpetual departmental inventory of all property, regardless of cost, for their area(s) of responsibility. This responsibility may not be assigned to any other person.
- c. Schools and departments issuing property for use outside their assigned location shall have appropriate procedures for "sign out" and "sign in" of such property. The records shall be sufficient in detail to provide an audit and produce the property for inventory.
- d. Any transfers of inventoried equipment must be coordinated with the Director of Materials Management. Equipment transfers of three months or longer will be considered a permanent transfer.
- e. Missing, stolen or unaccounted for property shall be reported immediately to Campus Safety.
- f. Policies of the Board of Regents do not permit the University to lend or rent any of its equipment or supplies to any agency or individual outside the University. Neither does the Board allow faculty or staff to remove equipment from offices, classrooms, or elsewhere on the campus. (Board of Regents Policy No. 914.02 - BR Minutes, 1949-50, p. 109).

### **Scheduling of Facilities**

In scheduling campus facilities, priority will be given to assignment of classroom space and the assignment of space for delivery of the academic programs. As long as there is no disruption, the academic program facilities are available for other uses by Georgia Southwestern State University groups, students and faculty, and by off-campus groups. Any student group who wishes to reserve facilities should contact the Office for Student Life. Any faculty group or off-campus group wishing to schedule facilities should contact the Office of Continuing Education.

**Regular academic classroom use:** The Vice President for Academic Affairs, assisted by the academic deans and department chairs, will develop and distribute a schedule of classes prior to the beginning of each term. The schedule will show the course number, title, instructor, room number, and time offered. Any deviation from this schedule by an individual of the corps of instruction must be approved by the appropriate academic dean or department chair and the Vice President for Academic Affairs.

### **GSW Groups**

Student groups should contact the Office for Student Life and faculty groups should contact the Office of Continuing Education to initiate a capital facilities scheduling form. The following policies apply:

1. Reservations for facilities for other than major events by GSW groups are granted on a first come, first served basis, only during the term in which the request is made, provided there is no conflict with previously scheduled events on campus and meeting or conference room space is available. Exceptions may be made at the discretion of the appropriate academic dean/department chair.

2. Social events sponsored by registered student organizations must be approved by the Assistant Director for Student Activities before facility reservations can be made. The Assistant Director for Student Activities will handle all reservation requests by registered student organizations.
3. Each department reserves the right to adjust space assignments, with proper notification, so that as many groups as possible can be accommodated.
4. There is no rental charge for the use of campus facilities by recognized campus groups or departments. A campus group needing technical stage assistance (lighting and sound technicians) or piano tuning will be charged for such services.
5. GSW facilities are available for private use by GSW employees or students, only when the individuals pay the designated rental charge and other fees designated for the use of the facility. Further, students and employees of the University may not reserve facilities on behalf of off-campus groups. Rental fees are non-refundable.

### **Off-Campus Groups**

Off-campus groups must initiate a facilities scheduling form in the Office of Continuing Education. Reservations of facilities by off-campus groups and organizations must be approved by the appropriate department chair/academic dean before facility reservations can be confirmed. Facilities can only be reserved during the term in which the request is made for a fee. The use of university facilities by off-campus groups will be permitted provided:

1. The purpose of the event is consistent with the mission of the institution.
2. The event holds no potential for disruptive, irresponsible, or obstructive actions by any person.
3. The group or organization agrees to pay the appropriate charges in advance as established by the University.
4. A License Agreement and Certificate of Insurance, meeting legal requirements, will be required for any event which holds potential harm for participants. The use of the University Field House, Florrie Chappell Gymnasium, and the swimming pool require these documents. The use of the facilities by off-campus groups will be coordinated with the Vice President for Business and Finance or his designated representative.
5. The off-campus group will furnish the Certificate of Insurance meeting legal requirements should the University deem this to be necessary.
6. The intent of the off-campus group's use of a university facility is not for profit making or to support a political cause.
7. The facilities will be used as is, with the University accepting no responsibility for supplying additional lighting, equipment, or the like, unless prior arrangements have been made and payment for such services has been made in advance.
8. Anyone using university facilities complies with federal laws, state laws, local ordinances, and university rules and regulations. No alcoholic beverages will be allowed on university premises, except as designated in the Alcoholic Beverages Policy as printed in the Student Conduct Code, GSWeatherwane.

## **<sup>1</sup>Smoking Policy**

In accordance with the Georgia Smoke Free Air Act of 2005, Title 31 Chapter 12A, this policy reinforces the USG commitment to provide a safe and amicable workplace for all employees. The goal of the policy is to preserve and improve the health, comfort and environment of students, employees and any persons occupying our campuses.

The use of all forms of tobacco products on property owned, leased, rented, in the possession of, or in any way used by the USG or its affiliates is expressly prohibited. "Tobacco Products" is defined as cigarettes, cigars, pipes, all forms of smokeless tobacco, clove cigarettes and any other smoking devices that use tobacco such as hookahs or simulate the use of tobacco such as electronic cigarettes.

Further, this policy prohibits any advertising, sale, or free sampling of tobacco products on USG properties unless specifically stated for research purposes. This prohibition includes but is not limited to all areas indoors and outdoors, buildings and parking lots owned, leased, rented or otherwise used by the USG or its affiliates. The use of tobacco products is prohibited in all vehicles – private or public vehicles - located on USG properties.

This policy applies to all persons who enter the areas described above, including but not limited to students, faculty, staff, contractors and subcontractors, spectators, and visitors. All events hosted by a USG entity shall be tobacco-free. All events hosted by outside groups on behalf of the USG shall also be tobacco-free.

### **Exceptions for Tobacco Use**

The President of each institution will define any exceptions to this policy. Exceptions to the policy will be very limited and on an as needed basis. The intent is the campus is tobacco and smoke free unless otherwise needed for educational purposes and/or the advancement of research on campus.

### **Enforcement**

The overall enforcement and authority of this policy lies with the President of the institution, but it is also a shared community responsibility, which means all students, faculty, and staff share in the responsibility to help keep the campus tobacco-free. Signage to help inform our campus community and visitors will be placed throughout campus.

### **Violation of Policy**

Violation of this policy may result in corrective action under the Student Code of Conduct or campus human resource policies. Visitors refusing to comply may be asked to leave campus.

### **Resources Available for Tobacco Cessation**

From time to time, the Board of Regents will make available resources to assist employees with tobacco cessation as well as educational materials and other wellness information. Such effort does not limit the amount of resources that the institution can provide for tobacco cessation and any other resources for the positive enforcement of this policy that the campus deems appropriate to provide. Resources for Tobacco Cessation can be found on the USG Workplace Wellness website at <http://www.usg.edu/wellness/>.

<sup>1</sup>(BOR policy 9.1.7)

## **Hazardous Materials Management**

(Federal Hazard Communication Standard 29 CFR 1910.1200)

(Environmental Protection Agency Section 302 of the Superfund Amendments and re-authorization Act Title III)

For information concerning the management of hazardous materials on the Georgia Southwestern State University campus, contact Mr. Arthur B. Clark, "Right-to-Know" Coordinator (Physical Plant, Extension 2309).

### **AIDS Policy**

It is the policy of Georgia Southwestern State University to provide academic programs, support services, and social/recreational activities to all eligible individuals. In the event that a student, faculty member, or staff member is diagnosed as having Acquired Immune Deficiency Syndrome (AIDS) or there is clinical evidence of infection with the Human Immunodeficiency Virus (HIV), that person shall retain the right to these programs, services and activities. Students and employees of the University who may become infected with the AIDS virus will not be excluded from employment, or otherwise restricted, unless medically-based judgments in individual cases establish that exclusion or restriction is necessary to the welfare of the individual or other members of the university community.

No admission restrictions will be applied and no effort will be made to identify a person with AIDS during the admission process.

Students with AIDS will not be denied assignment to a campus residence hall but specific decisions regarding housing assignment will be made on an individual basis utilizing medical personnel as necessary.

Individuals who have AIDS are urged to seek expert medical advice about their health condition and are obligated to conduct themselves responsibly in the interest of protecting others.

### **Immunization Against Disease**

(Section 407.04, Policies, Board of Regents)

During an epidemic or a threatened epidemic of any disease preventable by immunization on a campus of the University System, and when an emergency has been declared by appropriate health authorities of this state, the President is authorized, in conjunction with the Chancellor and appropriate health authorities, to promulgate rules and regulations specifying those diseases against which immunizations may be required.

Except for persons who cannot be immunized because of medical reasons or religious objections, students who have not been immunized may be excluded from any institution or facility of the University System until such time as they present valid evidence that they are immunized against the disease or the epidemic or threat no longer constitutes a significant public health danger.

#### **Immunization Requirements**

(Section 407.05, Policies, Board of Regents)

**STUDENTS** - All new students (freshmen, transfers, and others) attending regularly scheduled on campus classes or receiving resident credit will be required to submit a Certificate of Immunization (measles, mumps, rubella) prior to attending such classes. The certificate will be kept on file and will be valid throughout the tenure of the student.

Except for students who have religious objections and students whose physicians have certified that they cannot be immunized because of medical reasons, students who have not presented evidence of immunization as set forth above, will be denied admission to an institution or other facility of the University System until such time as they present the required immunization certification.

For exceptional and unusual circumstances, an institution may defer the immunization requirements for a period not to exceed thirty (30) calendar days from the first day of classes. Upon the expiration of a thirty (30) day period, no person will be permitted to attend classes until the required

immunization record is on file.

The certification must be on a form provided by the University System of Georgia and signed by a physician, nurse practitioner or an official of a County Health Department. The specific requirements will be set forth on the University System of Georgia form/certificate. Requirements will be reviewed periodically and the form/certificate will be revised appropriately with regard to prevailing health risks and available vaccines.

Institutions are authorized to impose additional immunization requirements for students when, in the opinion of the President, with the concurrence of the Chancellor, there is a substantial risk of exposure to other communicable diseases preventable by vaccination. (BR Minutes, 1990-91, p. 114)

### **Procedure for Reporting Student Illness or Injury**

If a student suddenly becomes ill or is injured in the presence of a faculty or staff member and they are

**conscious and ambulatory** - please call Public Safety and/or assist them to the Health Center

**unconscious and unable to walk** - (1) call **911**, (2) call Public Safety to alert them that you have called 911 and (3) call the Health Center if you need further assistance.

# **Grants and Contracts Manual for Research and Sponsored Programs**

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# Section 1

## Proposal Development

### **1.1 Proposal Development**

The procedures below exist to expedite, not impede proposal submission by guiding project directors through the application process.

### **Outline of Steps to Follow in Proposal Development**

1. Obtain preliminary, informal approval of your project from your department head and dean.
2. Obtain, from the Academic Affairs website or the Vice President for Academic Affairs, the routing form and grants resource information.
3. Write a draft of the proposal, carefully following the guidelines of the funding agency's Request for Proposal (RFP). It is a good idea to read the guidelines before beginning to write a proposal. Some agencies have stringent requirements on format and length, and proposals that do not conform to these requirements are frequently relegated to the pile of rejections. Have a colleague review and comment.
4. Keep in mind the deadline for receipt of your proposal at the sponsoring agency and plan your work to accommodate the time necessary to complete the total proposal process.
5. Begin work on the budget.
6. Fill out the Georgia Southwestern State University *Approval to Submit Proposal for External Funding Form* (Routing form). Your signature on the back of the form will indicate your compliance with various federal regulations. Attach a copy of your complete proposal if it is finished. If the proposal is not finished, approval may be obtained by routing the completed routing form, final budget and budget narrative, proposal draft, any signature and compliance pages, and an abstract. You will be asked for more information if it is needed.

Obtain the signatures of your department head and dean and send the proposal to the Vice President of Academic Affairs. The form will be routed next to the Vice President of Business and Finance for the final approval signature. Once it is signed, the Office of Business and Finance will send the proposal to the President for signatures.

***(For more information, refer to the Institutional Approval Procedure in Section 2.4 of this manual.)***

Under NO circumstances should a proposal, including an electronic submission, leave campus without all of the appropriate signatures and approval. All proposals require review and approval

by your Department Head and Dean, Vice President of Academic Affairs and Vice President for Business and Finance.

7. Make any multiple copies necessary for submission to the funding agency, a copy for yourself, copies for the Vice President for Academic Affairs, Vice President for Business and Finance and the Comptroller.

### 1.2 Finding Information about Grant Opportunities

As a rule of thumb, look for public funding first. Many private foundations will only consider your application after you show that you have exhausted all possible sources of federal and state funding.

### 1.3 What is Appropriate for Federal Support

*The following is reprinted from a handout of the same title.*

The Federal government, faced with the task of allocating its resources among an infinite number of competing demands, must focus in a few high priority areas that Congress and/or the executive branch determine to be worthy of national attention and support. In determining whether a project is appropriate for federal funding or is more likely to be supported by state, local or private sources, it is important to examine the project's activities and expected results in light of the basic goals of federal grant programs.

Despite their number and diversity, virtually all of these programs are designed to advance national policy objects in one or more of the following areas:

*Response to National Needs:* activities that serve a major public policy purpose identified by Congress or the executive branch by contributing to the solution of a particular social, economic or public health problem.

*Demonstration of New Approaches:* experimental or demonstration projects to test new methods or techniques that, if successful in one setting, can be replicated elsewhere. Projects of this nature must represent unique or innovative approaches and include well-defined plans for evaluation and dissemination of project results.

*Assistance to Underserved Populations:* projects that serve certain groups or individuals -- members of minority groups, the handicapped or, in some instances, women -- who have special needs that have been neglected by federal, state or local governments in the past.

*Advancement of Knowledge:* support for research that will advance the state of knowledge in a particular discipline or yield applications that will help the funding agency to carry out its assigned mission.

*Infrastructure Development:* within this broad category, the government assists organizations or institutions that represent major national resources or contribute in some way to achieving important public purposes.

It is important to note that the government does not fund these organizations solely because of their intrinsic merit rather, their activities must be linked to the advancement of broad policy goals, such as increasing public exposure to the arts and/or expanding the base of trained scientific manpower. Projects that cannot be related in some way to at least one of these broad public purposes are not likely to qualify for support at the national level, regardless of their intrinsic merit.

Activities inappropriate for federal funding are those that:

- are primarily local in impact and likely to benefit a single institution or group (such as a project to enhance the skills of elementary school music teachers);
- provide services that an institution normally would be expected to offer as part of its regular operations (such as support for a language laboratory to provide instruction in commonly taught foreign languages);
- replicate long-established or well-tested practices (such as projects to introduce "writing across the curriculum"); or
- are commercially viable and thus capable of attracting private sponsorship (such as development of computer software or publication of textbooks likely to have a sizeable market).

Such projects are likely to be viewed as institutional or local concerns or commercial ventures, which should be funded from the university's operating budget or supported by those who would directly benefit. Before concluding that the federal government is an appropriate sponsor, prospective applicants should think through their projects in relation to both these broad government goals and to the stated purposes and priorities of the specific grant programs that seem most appropriate to the activity.

A strong and clear link between government purposes and project activities will significantly enhance the competitiveness of a proposal. If this link is absent, proposers should explore state or local sources of support, if appropriate, or bring their projects to the early attention of the appropriate university administrators in the hope that they can be included in plans for the institution's future development.

#### 1.4 Travel Support

*The following is adapted from a handout of the same title.*

One of the most frequently asked questions facing a faculty is where to find funds for faculty travel. The answer varies depending on the specifics of the request. It is important to keep in mind that a federal agency will support travel only as it relates to the agency's basic mission. In general, travel is supported because it contributes to an individual funded research project, because it helps to strengthen the national or international infrastructure of science, or because it furthers international understanding.

A number of factors limit the federal government's ability to provide direct support for faculty travel: line items for travel support would be particularly susceptible to cuts in times of tight budgets and a large number of individual awards would be cumbersome and costly to administer. As a result, agencies generally support travel indirectly, either through a research project grant or through grants to sponsoring organizations, which in turn make awards to individuals.

## **Research**

Travel related to a funded project (e.g. for fieldwork) is an allowable cost on most research grants. Agencies can easily justify the allocation of funds for travel in this context, since the project has been peer-reviewed and judged worthy of support.

Grants specifically for research in foreign countries are awarded by the Council for International Exchange of Scholars (with funds provided by the United States Information Agency) and by such organizations as the International Research and Exchanges Board and the Committee on Scholarly Communication with the People's Republic of China. Certain agencies, notably the National Science Foundation and the National Institutes of Health, have programs that provide funding specifically for travel and other activities needed to develop collaborative projects with scientists in other countries.

A limited number of programs provide grants that support only the travel component of a research project, but with funding decisions based on the merit of the overall research proposed. Examples include the National Endowment for the Humanities' Travel to Collections program and certain CIES programs. Grants-in-Aid from the American Council of Learned Societies may also be used for travel expenses related to a specific research project in progress.

Fellowships for research at government laboratories and at various centers for advanced study may include travel to the lab or center as part of the award.

## **Educational and Cultural Exchanges**

The Council for International Exchange of Scholars also awards grants for university lecturing in over 100 countries, while the U.S. Department of Education operates a number of programs for teachers who wish to enhance their familiarity with foreign cultures and improve their teaching ability by participating in seminars and other exchange programs.

## **Conferences**

Travel to attend a scientific or disciplinary meeting is also an allowable cost on a research grant, if attendance at the meetings or conferences will enhance the investigator's capability to perform the research, plan extensions of it or disseminate its results.

Support for conferences is generally provided through grants to a sponsoring organization for a particular meeting or for meetings in a particular field or discipline. These organizations may then make awards for travel support of meeting participants. In addition to this direct support for conferences, NEH also annually awards "regrant" funds to the American Council of Learned

Societies for travel grants to humanists. Participants in humanities conferences should apply to ACLS for support. In a similar fashion, the National Science Foundation provides support to the NATO Institutes, which in turn provide travel support from the organization running the meeting, rather than directly from a federal agency.

No programs provide direct support for travel to a meeting by non-speakers, for fairly obvious reasons. Lacking sufficient criteria to weigh competing requests, agencies would find it difficult to assess who should be funded and program officers would be susceptible to criticisms of supporting their cronies.

### **Foundations**

Private foundations face many of the same constraints mentioned above and are not generally a promising source of support for individual faculty travel requests, with the exception of those foundations that run specific international program competitions (for example, the Japan Foundation or the Pacific Cultural Foundation). Foundations with regional or local affiliations/interests might be more likely to contribute to an internal faculty development fund, which in turn could support individual faculty travel.

### **Suggestions**

Please keep in mind that, like all programs, travel grant applications take six to nine months for processing and review and, in the case of bilateral programs, sometimes longer.

# Section 2

## Application Procedures

### 2.1 Application Procedures

Application for financial support from sponsoring agencies is accomplished by the submission of a formal grant proposal which has passed through the internal review process. The proposal is the document on which the university and the sponsor base their commitments of funds, facilities, and services for the performance of the research or project. The written proposal may be the only contact that the funding agency's evaluation committee has with the project. It is essential that the proposal be technically sound and well composed.

The proposal must address itself specifically to the requirements listed in the guidelines or request for proposal (RFP) and describe the project in the clearest possible terms. Funding agencies review and evaluate proposals with reference to four major considerations:

- a) The possibility of significant results to be obtained from the research project;
- b) The resources required to conduct the project are analyzed in terms of existing and projected commitments of the agency and the university;
- c) The request for funds is evaluated in reference to cost effectiveness and efficiency;
- d) The competency of the investigator to undertake the proposed research.

Most sponsors, particularly agencies of the Federal Government, furnish standard application forms, which must be used. In the absence of specified forms and proposal formats, the model below is suggested. The format offered below, with explanatory comments, covers all the major elements considered essential to a sound proposal. PI's may consider other standard formats or devise one of their own.

### SAMPLE FORMAT

#### 1. Title Page

This page should include the following information:

- a) short title that gives a clear indication of the essential nature of the project;
- b) name and address of the agency to which the proposal is being submitted;
- c) name, title, address, and telephone number of the PI;

d) name and address of the university;

e) date of project duration (the starting date being set no later than the date when the first formal commitment for equipment or personnel must be made);

f) total estimated cost of the project;

g) signature of the PI;

h) signature and title of GSW's President.

## 2. Abstract

The abstract should be written in simple language (no jargon). All pertinent aspects of the sponsored activity, including a summary of the objectives and a description of the results to be expected, should be contained in the abstract. Most abstracts for grants purposes run fewer than 350 words and are limited to one double-spaced typed page.

## 3. Table of Contents

A separate page showing the major sections of the proposal, with referenced page numbers, is sufficient in most instances.

## 4. Introduction

The introduction should be a statement containing the objectives of the research and background information from the proposal.

## 5. Project Description

This section includes at least the following elements:

a) a statement of the problem and objectives;

b) a review of the literature and related research, in terms of present need for the project;

c) hypotheses to be tested or results expected;

d) research design, methodology, and evaluation.

(The Description section may vary considerably in its design, according to specific intentions of the proposal or the procedures and traditions of a particular discipline.)

## 6. Facilities

List such items as laboratory equipment and apparatus, laboratory space, field resources, library services, data processing capabilities, and other institutional services. Be sure to include an explanation of any equipment which you propose to buy with the funds of the grant you are seeking. Include only those university facilities to be utilized in conjunction with the project being proposed. If appropriate, discuss disability accessibility.

## 7. Personnel

Vitae and bibliographic information on the PI and other professionals is necessary in this section. Describe the number and academic level of any undergraduate assistants, as well as secretarial and clerical personnel who will work on the project. Frequently a short description will be appropriate here with a full vitae included for all personnel in an Appendix.

## 8. Project Period

Describe the entire length of the project from anticipated date of award through the final reporting period. Often the entire length of the project extends beyond the period for which initial funds are requested. Time lines, PERT charts, or other means of identifying time or utilities, are valuable in this section.

## 9. Budget

The budget must be a carefully considered, accurate cost statement, which is second in importance only to the central project idea. To assure conformity with university and sponsoring agency policies, the budget should be reviewed by the Budget Office prior to final typing.

## 10. Budget Explanation (Budget Narrative)

Often the budget page is accompanied by additional sheets (budget narratives) explaining the distribution of salaries and wages, nature of fringe benefits, prices of equipment, categories of travel expenditures, major supply items, and computation of indirect costs.

### 2.2 Sample Biographic Data Sheet

(Not all items listed below are appropriate or necessary for all proposals; make judicious choices.)

Name:

Title in the Project: (eg. Associate Director)

Academic Rank:

Institutional Address:

Telephone Number:



Education:

Institution Degree Field Date

Teaching Experience:

Institution Field Date

Previously Funded Projects:

Institution Funding Agency Project Period

Publications Related to this Project:

Papers Presented:

Other Work Related to this Proposal:

Professional Affiliations:

Honors and Awards:

University Service: (as appropriate)

### 2.3 Deadlines

It is the responsibility of the PI to know the deadlines for submission of the proposal and to allow adequate time for the institutional approval process. At least a week is normally required for the approval process. Time to review is essential to the completion of a competitive proposal.

### 2.4 Institutional Approval Procedure

It is important to realize that the institutional approval process is a necessary step which must be taken before mailing your proposal to the granting agency. Completion of a two-page form entitled "*Approval to Submit Proposal for External Funding*" is required by the University. Submit the original completed and signed form, along with copies of the abstract, face page, final budget and budget narrative, certification and signature pages, and evidence of approval if F&A costs (indirects) are not being recouped, to the President before you mail the proposal.

Appropriate signatures must be obtained before the proposal is sent to the potential sponsor. These signatures show that your proposal is not at odds with university/college goals or departmental goals, that any university/college or departmental cost-sharing is approved and that you haven't committed more than 100% of your time without an approved overload. The approval procedure is designed to ensure that the individual grant-writer does not make commitments, financial or otherwise, which cannot be honored by the University. ***The Vice President for Academic Affairs is required to keep a copy of all grant proposals on file, as well as a copy of any award notification.***

***Under no circumstances should a proposal be mailed without first being approved. Changes to the proposal after the approval process is complete will mean that the proposal will need to be rerouted.***

The internal review process has been streamlined as much as possible. For instance, the approval form also serves to document your compliance, or lack thereof, with certain federal regulations, thus making a separate memo for each assurance unnecessary. Please remember that, with the exception of fellowships, every grant you receive as an employee of this university will be a grant to the university, not to you as an individual. The recipient of a grant may have certain intellectual property responsibilities to the university and should discuss those issues with the Vice President of Academic Affairs.

### 2.5 Sponsor's Evaluation

Sponsors usually outline the criteria used to evaluate proposals. An applicant has a better probability of receiving an award if the agencies' criteria are considered in the preparation of a proposal. In most cases, the prospective sponsor considers:

- a) **Significance.** The project should focus on problems of major importance. The anticipated outcome of the project should produce communicable results of potential value to others. There should be a clear prospect of accomplishing the proposed project. The PI should either be concerned with the development of new knowledge applicable to the problem or testing previous assumptions or conclusions.
- b) **Design or Operational Plan.** The problem to be dealt with should be well defined. The purpose and value of the project, its plan of development, method of approach, expected outcome, and need for implementation should be clear. The proposal should reflect a familiarity with the historical background of the problem, an awareness of similar projects that have been previously undertaken, and an adequate knowledge of other related activities. The questions to be answered and hypotheses to be tested should be well formulated and clearly stated. The proposal should fully outline the procedure to be followed and include information on applicable points such as sampling techniques, controls, types of data to be gathered, and statistical analyses to be completed.
- c) **Personnel and Facilities.** The role of all professional personnel involved in the project should be clearly stated. The applicant should have facilities available which are adequate for carrying out the project. The PI should have a history of professional experience in the project area or a clearly demonstrated competence for conducting work in that area.
- d) **Economic Efficiency.** The proposal should be reasonable in terms of overall costs, with emphasis given to the favorable relationship between probable results and total expenditures. The period of time required for efficient production should be clearly stated and a general timetable provided. Any parallel requests for support from other agencies for the same project should be indicated. Many agencies require matching funds. The ratio of requested or matching (in-kind or otherwise) contributions must be addressed in the budget and budget narrative.

e) **Evaluation Plan.** The plan to evaluate the degree to which the program is successful is an extremely important part of any proposal. Both public and private funders, are placing increasing emphasis on the evaluation component of the proposals they review. Procedures should be clearly stated and related to each stated activity goal.

### 2.6 Proposal Rejections

It is usually helpful to request a critique of any proposal not accepted for funding. Reviews provide valuable information for investigators and for Georgia Southwestern State University in any subsequent proposals which the university might submit to the same agency. Please provide the Vice President for Academic Affairs with a copy of any critique you receive. They will be filed with the original grant proposal for future reference.

Besides a sponsor's lack of funds for project support, the most common reasons for proposal rejections are:

- a) Guidelines were not followed.
- b) The project did not respond directly to the sponsor's priorities or mission.
- c) The research plan and objectives were not clear.
- d) The proposal contained poor methodology or research design.
- e) The applicant displayed a lack of knowledge or did previous work in the field which duplicates the proposal.
- f) The applicant's qualifications and experience were not sufficient or appropriate to the planned activity.
- g) The budget request was unreasonable in terms of the projected outcomes or proposed timetable.
- h) The project could not reasonably be completed in the time proposed.

### 2.7 Deciding to Resubmit

It is important to keep in mind that rejections are far more common than awards and are often not a reflection of a poor proposal or a bad project idea. Rejections are often simply the result of insufficient funds. It is important to consider resubmitting. After analyzing reviewer's comments, the principal investigator needs to decide whether or not to resubmit. If your analysis leads to the decision that the idea is not significant or is too problematic, a fresh start may be warranted. However, if problems identified by reviewers and program officials are minimal, it is appropriate to prepare the proposal for resubmission.

In many cases, since the proposal has already been approved in its initial form, the institutional approval process will be faster. Try requesting copies of winning proposals before rewriting your

own. If you ask, many PI's from other institutions are willing to share copies of their winning proposals. These will give you valuable insight into what the agency will fund and help stimulate your new ideas. If you decide to resubmit to another agency there are several points to remember:

- Submission requirements between agencies often vary widely, and a proposal written to conform to the standards of one agency may need major revision to fit the guidelines of another agency.
- The funds available from an alternate agency may differ from those offered by the original agency.
- Some revision to the overall plan of your project and its budget may be necessary in order to meet funding limits of a different agency.

## Section 3

# Fiscal Considerations

### 3.1 Fiscal Considerations: Budget Preparation

The budget of a grant proposal is second in importance only to the description of the principal ideas of the project. While the budget preparation requires much special consideration to comply with the various policies of the university and the funding agency, the budget statement is not a document impossible to construct.

If the funding agency provides a specific budget form, it must be used. In most cases, any special forms will be included by the agency as part of the application package. The PI is required to complete the GSW Budget Sheet attached to routing form. This breakdown will help you to plan in detail for the financial support required for the various components of your project, to calculate personnel time and costs for the project staff, and to calculate indirect costs. It will be valuable in the university's internal review process. Moreover, it will help in determining the university's contributions (matching or cost sharing on a cash or in-kind basis), if these are required by the agency.

### 3.2 Outline Steps to Follow in Budget Preparation

a) Review the rules and regulations for the budget, as provided in your copy of the agency's guidelines or RFP.

- b) Decide on the amount of time that you and other professionals involved in the project will have to contribute.
- c) Figure the time required for assistants and secretarial or clerical help, for consultants, honoraria, travel, lodging, subsistence.
- d) Estimate the costs of equipment, supplies, printing, duplication, media services, staff services, postage, telephone, data processing time, etc.
- e) The finalized budget is included with the narrative portion of the application and processed through institutional review.

### 3.3 Direct Costs

Direct costs include all items that can be categorically identified and charged directly to the specific project.

Most sponsors allow direct costs funding for the following categories:

- a) Personnel. Calculate the percentage of time spent on the project for each individual and prorate the salary for the proposed implementation period of the grant. **All salaries must be calculated as a percentage of your current year contract.**

1. Principal investigator or project director.

2. Other on-campus professionals.

3. Student assistants. Undergraduate students also may be employed on sponsored research projects, but students on University Work-Study Program (CWSP) may not be paid from a second source of federal funds. PIs may contact Financial Aid for assistance in locating qualified student assistants. Although the PI is responsible for the selection and hiring of all such assistants, appointment forms must be processed through normal university channels. Pay scales should conform to those current within the university.

4. Technicians, etc.

5. Secretarial, clerical help may be charged as a direct cost in some cases. In others, they become part of your indirect pool. Check the regulations appropriate to the funding source. PIs should recognize that "classified" personnel hired on a sponsored program grant must receive comparable salary, duties, responsibilities, and benefits as those in a comparable position elsewhere in the university. The PI should consult with the Personnel Office concerning current or projected salaries for these positions. All personnel who are hired for the specific purpose of a grant must be informed by the PI that their employment period coincides with the award period and that the University cannot be assumed to continue their employment beyond the period for which grant funds are available.

b) Fringe Benefits. Fringe benefits accompanying salaries paid by the grant will be charged to the grant unless the Vice President of Business and Student Services agrees that the Institution will pay for it. Consultants are not eligible to receive fringe benefits.

#### **Formulas for Calculating Salary and Wages**

##### **If you are on a 10-month salary:**

One course reduction = 1/10 of

salary shown on your contract

One month = 1/9 of salary shown

on your contract

##### **Calculation of Fringe Benefits**

**For a new full time position use 1.45% fica med, 6.2% fica, 10.03% retirement, \$180 basic life, and \$11,751 for maximum health**

**For Faculty additional pay use 1.45% fica med and 6.2% fica**

**For Part Time Faculty use 1.45% fica med**

**For Summer Faculty use 1.45% fica med and 6.2% fica and 10.03% retirement**

**For Graduate Assistants no fringe benefits are calculated**

**For Professional/Admin use 1.45% fica med and 6.2% fica**

**For Part Time Administrator (monthly employee) use 1.45% fica med**

**For overtime use 1.45% fica med and 6.2% fica**

**For Part Time Clerical Staff use 1.45% fica med**

**For Student Assistants no fringe benefits are calculated**

Please contact the Business Office for assistance

c) Consultants. Outside consultants may be paid through grant funds. All honoraria, consultants' fees, travel expenses, subsistence, and related expenses must conform to established University Procedure for reimbursement.

d) Subcontractors. Georgia Southwestern State University does not normally subcontract. If subcontracts are essential to the successful completion of a sponsored program advance arrangements must be made with the Business Office and institutional approval must be sought.

e) Travel. All travel paid from grant funds must conform to the university travel. Consult the Business Office for details of current travel policy. The GSW travel policy is posted on the Business Office web site <http://www.gsw.edu/~baf/manual.htm>.

f) Equipment. Equipment may be purchased or rented, according to the policies of the grantor. The equipment budget should reflect the price of freight, installation costs, and maintenance contracts, as appropriate. All equipment purchased with grant funds become the property of GSW.

g) Supplies and Materials. Supplies and consumable materials must be itemized on the budget explanation page. Spending must be approved by the grantor if it does not fall under state spending policy.

h) Other Direct Costs. These costs are items that can be identified and related to the project and not included in the indirect costs calculations:

1. Communications - costs of telephone and postage;
2. Publication charges - graphics and printing, duplication, media services, final report costs, etc. and;
3. Miscellaneous cost of project operation.

#### 3.4 Indirect Costs (Facilities and Administrative Costs)

Indirect costs are those that have been incurred for common or joint objectives of the university and the sponsored program and which, therefore, cannot be identified specifically in reference to a particular project.

Indirect costs include items such as building operations and maintenance, laboratory space, library services, utilities, and administrative services. Indirect costs related to the conduct of a sponsored program are just as real as the direct costs and ultimately must be provided for either by the sponsor or by the university. Note that some federal agencies have specific rules regarding indirect cost rates. For example, the US Department of Education places an 8% cap on IDC recovery for training grants and disallows the use of unrecovered indirect costs to meet matching or cost-sharing requirements for training grants.

Check the rules provided in the agency's guidelines or RFP. Show unrecovered indirect costs in the cost-share column of your budget. If you are not allowed to use these costs to meet your cost sharing requirement, make sure that the sum of the other costs in this column add up to the appropriate amount. Note that indirect cost funds, when awarded, are not available for use in the

project itself. Costs of the project must be paid by direct costs as outlined in the original proposal budget.

### **3.4a Georgia Southwestern State University Procedure For Facilities And Administrative (Indirect) Cost Recovery**

A-21, *Cost Principles for Educational Institutions*, was revised by OMB(Federal Office of Management and Budgets) as of May 8, 1996.

One of the revisions changed the term "indirect costs" to "facilities and administrative costs" (F & A Costs). Georgia Southwestern State University policy is to seek full reimbursement of F & A costs in connection with all externally supported programs. It is recognized, however, that some donors and grantors have fixed policies limiting the reimbursement of F & A costs. The University will consider sponsor-imposed conditions regarding the limitation or waiver of F & A costs if required by federal law or regulation, or if the sponsoring agency (foreign, domestic, private corporation, foundation, or other business entity) publishes a rate or policy that is consistently applied to all grants and contracts with educational institutions.

In addition, it must be demonstrated that the project is of significant importance to the university to warrant subsidizing the F & A costs from other programs. Gifts and grants for scholarships and fellowships are not subject to this Procedure. Requests for exceptions must be submitted to the Vice President of Academic Affairs and the Vice President for Business and Finance for approval.

#### **Formula for Calculating Indirect Costs:**

Up to a maximum of 46% of salary and wages depending on the funding source (do not include fringe benefits).

#### 3.5 Proposal Negotiation

It is the responsibility of the PI to negotiate with the funding agency for a particular proposal. Many times a proposal is considered eligible by the sponsor, but the funds requested exceed what the reviewers feel necessary or what the agency has available to support the project. A reduction in the budget would then become necessary. Negotiated budgets should be routed through the local review channels before the university accepts the negotiated proposal.

Remember that a reduction in the budget may create changes in the scope of the work. To maintain credibility with the funding agency, the PI should consider a work reduction commensurate with any substantial budget reduction. Often personal and professional relationships develop between individual faculty members and agency staff personnel. GSW encourages the development and maintenance of good contacts and informal discussions with granting agencies. It is important, however, to remember that such informal discussions do not represent the agency or university commitments. It is important that all contracts entered into on



behalf of the university be signed by an authorized institutional representative (Vice President for Business and Finance and the President).

## Section 4

# Post-Award Management

### 4.1 Post-award Project Management

Administering an award consists of the necessary actions for managing a grant award, from the initial authority to expend grant moneys through the fiscal close-out and final report of an expired grant. The post-award management of any grant is the responsibility of the Principal Investigator (PI) and the Business Office.

The post-award section of this manual contains information on the process of post-award management. In the preparation of this material, the general requirements of federal grants have been considered. However, it is important to understand that there has been no attempt to cover the specific regulations of all federal and non-federal agencies and their various programs. Principal Investigators are responsible for strict adherence to the

regulations governing their awards, so it is imperative that they have complete knowledge of those regulations and the university's regulations concerning expenditures of grant awards.

#### **Award Notification and Establishing an Account**

Upon receipt of grant award notification, the PI should examine the document for possible administrative errors or omissions. **Next, the PI must send a copy of the award letter along with a departmental Peoplesoft contact to the Comptroller.** The Comptroller is required to file the award letter with the proposal and routing forms.

No one receiving grant funds is permitted to establish separate bank accounts or is, in any way, allowed to execute financial transactions separate from university procedures. The Vice President for Business and Finance will forward the award information to the Business Office. An account and budget will be set up according to the budget form completed by the PI.

#### **Managing and Documenting Expenditures**

The PI should consult the grant contract throughout the project concerning expenditures. **All grant and contract expenditures are subject to purchasing, budgeting, personnel and other university policies and procedures. They must be approved by the department head.**

Regardless of the funding source of any grant, all expenditures must comply not only with the guidelines of the sponsor but also with existing university, Board of Regents, and state policies.

Any anticipated variances with the Procedure must be discussed with the Vice President for Business and Finance and formally approved.

### **Grant and Contract Record Retention Requirements**

Grant and contract records are required to be kept for specific periods after completion of the project. There are different record retention requirements for different types of agreements.

For Federal grants and cooperative agreements, you should refer to Office of Management and Budget (OMB) Circular A-110, part \_\_.53. In most cases, a three-year retention requirement from the date of submission of your final expenditure report is required. There are, however, exceptions for other types of records or litigation. Please note that the United States Department of Education has a statutory five year retention period.

For contracts, the provisions of the Federal Acquisitions Regulations (FAR) apply with varying times; six years is a good choice. Agreements with non-federal sponsors (state, foundations, etc.) may have record retention requirements which are different again.

Keeping grant and contract records for seven years from the date of project termination would seem to cover most requirements.

Remember, retention should be in accordance with project not budget period. OMB rules that record retention requirements also apply to technical data.

### **Responsibilities of the PI**

Acceptance of a sponsored program fund by the university commits the university and the PI to conduct the program in a professional manner and in accordance with the policies of the funding agency. It is the responsibility of each PI to insure that the research effort or program is commensurate with the expectations of the grantor and with the highest ideals of professional inquiry. Although the PI is responsible to the funding agency for conducting a particular project, the normal supervisory relationship between the university and the PI is not altered. The ultimate accountability for any sponsored project rests with the university.

The PI should remember that the support of the various administrative units of the university is available during the conduct of the sponsored activity. Explanations of procedures and support are available from the Personnel department concerning the hiring of new personnel, and from the Business Office and Purchasing concerning appropriate expenditures of all types -- from equipment purchases to required telephone service.

Throughout the entire implementation of the project, the Principal Investigator should document all activities to ensure proper reporting of all activities and expenditures as required by the sponsor.

### **Helpful suggestions for the PI**

- Make an appointment with the Comptroller as soon as you receive the award notification in order to set up your Peoplesoft account.
- Do not incur obligations under new or renewed projects until authority to expend has been received and an appropriate account number has been assigned.
- Read the award guidelines and budget carefully to insure proper management of the award.
- Do not purchase equipment during the last three months of a federal grant. The auditor may disallow the cost of the equipment purchased near the end of a grant.
- Under ordinary circumstances, PI's should not order supplies during the last month of a grant.
- Verify all charges on the grant with the Business Office before such financial commitments are made. Common budget items and recurring expenses, such as salaries, may be verified when the account is established.
- Process all budgetary adjustments through the Budget Office to avoid audit disallowances.
- Each month monitor the grant expenses and encumbrances as a check on the remaining funds via your Peoplesoft account.
- Do not make expenditures on a terminated grant account while awaiting assignment of a new account number for a renewal grant.
- Do not incur obligations if you have any doubts as to whether they will be allowed. Always check with the agency contact for your award and with the Business Office.
- Make a point to submit required periodic and final reports on time.
- Remember that the Business Office has fiscal responsibility to insure that your award is administered in accordance with the regulations of the funding agency and the university.
- The PI cannot approve additional pay, salary or travel for him/herself.

#### 4.2 Grant Close-Out Requirements

Finishing a grant project is just as important as starting one. In many cases, the way in which close-out procedures are handled, such as timely submission of final reports and the quality of those reports, can have a direct impact on chances for future funding.

There are several areas of management that need particular attention at the close of the funding project: budget, personnel, purchasing and grants files.

**Budget:** Make sure final budget revisions are on file and notify the staff and other appropriate personnel that the grant has expired and should not be used after the grant period has ended.

**Personnel:** Please complete all termination paperwork for all staff. If needed, transfer all payroll changes for staff to new cost centers or to the new assigned number for the "continuation grant". If the grant has expired, it is imperative that all personnel is moved from the cost center associated with the "old" grant.

**Purchasing Activities:** Telephones must be transferred to other budgets or removed. Bookstore charges should be checked and reconciled, and the bookstore notified that charges to the grant are no longer valid.

**Grant Files:** Please review all files for grant documentation associated with personnel records, purchase orders/requisitions and budget records. Include any necessary back up when changes occurred. Keep in mind that an auditor may contact you regarding the records associated with your grant. Your diligence in keeping and recording accurate files is essential for future funding. It is important to "clean up" all files/records once at the end of a grant cycle.

# **Helpful Information**

## **Vice President for Academic Affairs**

Dr. Brian U. Adler

Extension: 1361

brian.adler@gsw.edu

## **Vice President for Business and Finance**

Mr. Cody King

Extension: 2066

cody.king@gsw.edu

## **Comptroller**

Mr. Jeff Hall

Extension: 2066

jeff.hall@gsw.edu

Appendix B

## **Commonly Encountered Acronyms**

AAAS American Association for the Advancement of Science

AASCU American Association of State Colleges & Universities

AAU Association of American Universities

AAUW American Association of University Women Educational Foundation

ACF Administration on Children and Families (HHS)

ACYF Administration for Children, Youth and Families (ACF)

ADA Americans with Disabilities Act

ADD Administration on Developmental Disabilities (ACF)

AED Academy for Educational Development

AHCPR Agency for Health Care Policy and Research (HHS)

AHEC Area Health Education Centers (HRSA)

AID Agency for International Development --also USAID (IDCA)

AOA Administration on Aging (HHS)

AREA Academic Research Enhancement Award (NIH)

ARI Academic Research Infrastructure Program (NSF)

ARO Army Research Office (DOD)

ARS Agriculture Research Service (USDA)

ATP Advanced Technology Program

ATSDR Agency for Toxic Substances and Disease Registry (PHS)

BAA Broad Agency Announcement

BHRD Bureau of Health Resources Development (HRSA)

BLM Bureau of Land Management (DOI)

BLS Bureau of Labor Statistics (DOL)

BMCH Bureau of Maternal and Child Health (HRSA)

CAN Combined Application Notice (ED)

CBD *Commerce Business Daily*

CBO Congressional Budget Office

CCR Commission on Civil Rights

CDC Center for Disease Control and Prevention (HHS)

CFA Commission on Fine Arts

CFDA Catalog of Federal Domestic Assistance

CFR Code of Federal Regulations

CIES Council for the International Exchange of Scholars

CNCS The Corporation for National and Community Service

COGR Council on Governmental Relations

COI Conflict of Interest

CPB Corporation for Public Broadcasting

CSAP Center for Substance Abuse Prevention (SAMHSA)

CSAT Center for Substance Abuse Treatment (SAMHSA)

CSRS Cooperative State Research Service (USDA)

DEA Drug Enforcement Agency (DOJ)

DOC Department of Commerce

DOD Department of Defense

DOE Department of Energy

DOI Department of Interior

DOJ Department of Justice

DOL Department of Labor

DOS Department of State

DOT Department of Transportation

DUE Division of Undergraduate Education (NSF)

ED Department of Education -- also known as DOE

EDA Economic Development Administration (Commerce)

EDGAR Education Department General Administrative Regulations

EOP Executive Office of the President

EPA Environmental Protection Agency

EPSCoR Experimental Program to Stimulate Competitive Research

ETA Employment & Training Administration (DOL)

F&A Costs Facilities and Administrative Costs (formerly Indirect Costs)

FAA Federal Aviation Administration (DOT)

FAR Federal Acquisition Regulation

FCC Federal Communications Commission

FDA Food and Drug Administration (HHS)

FDP Federal Demonstration Project

FERC Federal Energy Regulatory Commission (DOE)

FHA Federal Highway Administration (DOT)



FIE Fund for Innovation in Education (ED)

FIPSE Fund for the Improvement of Postsecondary Education (ED)

FR *Federal Register*

FTC Federal Trade Commission

FY Fiscal Year

GAANN Graduate Assistance in Areas of National Need (ED)

GAO General Accounting Office

GPG Grant Proposal Guide (NSF)

GPO Government Printing Office

GSA General Services Administration

HBCU Historically Black College or University

HCFA Health Care Financing Administration (HHS)

HHS Department of Health and Human Services

HRSA Health Resources and Services Administration (HHS)

HUD Department of Housing and Urban Development

IACUC Institutional Animal Care and Use Committee

IAF Inter-American Foundation

ICC Interstate Commerce Commission

IDC Indirect Costs

IDCA International Development Cooperation Agency

IDEA Individuals with Disabilities Education Act

IHE Institute of Higher Education

IIE Institute of International Education

IOM Institute of Medicine

IRB Institutional Review Board

IREX International Research and Exchanges Board

JOBS Jobs Opportunities and Basic Skills (HHS)

JTPA Job Training Partnership Act (DOL)

LSC Legal Services Corporation

MARFIN Marine Fisheries Initiative (NOAA)

MBDA Minority Business Development Agency (DOC)

MI Minority Institution

MSIP Minority Science Improvement Program (ED)

MTDC Modified Total Direct Costs

NAE National Academy of Engineering

NAEP National Assessment of Educational Programs (ED)

NARA National Archives and Records Administration

NAS National Academy of Sciences

NASA National Aeronautics and Space Administration

NASULGC National Association of State Universities and Land-Grant Colleges

NCD National Council on Disability

NCI National Cancer Institute (NIH)

NCLIS National Commission on Libraries and Information Science

NCRR National Center for Research Resources (NIH)

NCTR National Center for Toxicological Research (HHS)

NCURA National Council of University Research Administrators

NEA National Endowment for the Arts

NEH National Endowment for the Humanities

NFAH National Foundation on the Arts and Humanities

NHLBI National Heart, Lung & Blood Institute (NIH)

NIA National Institute on Aging (NIH)

NIAAA National Institute on Alcohol Abuse and Alcoholism (NIH)

NIAID National Institute of Allergy & Infectious Diseases (NIH)

NIAMSD National Institute of Arthritis & Musculoskeletal & Skin Diseases (NIH)

NIDA National Institute on Drug Abuse (NIH)

NIDCD National Institute on Deafness & Other Communication Disorders (NIH)

NIDR National Institute of Dental Research (NIH)

NIDRR National Institute on Disability & Rehabilitation Research (OSERS)

NIH National Institutes of Health (HHS)

NII National Information Infrastructure

NIJ National Institute of Justice (DOJ)

NIMH National Institute of Mental Health (NIH)

NINR National Institute of Nursing Research (NIH)

NIST National Institute of Standards and Technology (DOC)

NLM National Library of Medicine (NIH)

NMFS National Marine Fisheries Services (NOAA)

NOAA National Oceanic and Atmospheric Administration (DOC)

NPRM Notice of Proposed Rulemaking

NSA National Security Agency (DOD)

NSB National Science Board (NSF)

NSC National Security Council (EOP)

NSEP National Security Education Program (DOD)

NSF National Science Foundation

NTIS National Technical Information Service (DOC)

NTSB National Transportation Safety Board

OASH Office of the Assistant Secretary for Health

OBEMLA Office of Bilingual Education and Minority Language Affairs (ED)

OEIR Office of Educational Research and Improvement (ED)

OESE Office of Elementary and Secondary Education (also El-Sec) (ED)

OGE Office of Government Ethics

OICD Office of International Cooperation & Development (USDA)

OMB Office of Management & Budget (EOP)

OPSE Office of Postsecondary Education (or OPS) (ED)

OPM Office of Personnel Management

OPRR Office for Protection from Research Risks (NIH)

ORI Office of Research Integrity (OASH)

OSEP Office of Special Education Programs (OSERS)

OSERS Office of Special Education and Rehabilitative Services (ED)

OSP Office of Sponsored Programs (AASU)

OSR Office of Systemic Reform (NSF)

OSTP Office of Science & Technology Policy (EOP)

OTA Office of Technology Assessment

PHS Public Health Service (HHS)

PI/PD Principal Investigator/Project Director

PREP Pre-Freshman Enrichment Program (DOE)

PRH Patricia Robert Harris Program (ED)

RDA Rural Development Administration (USDA)

RFA Request for Applications

RFP Request for Proposals

SAMHSA Substance Abuse and Mental Health Services Administration (HHS)

SBA Small Business Administration

SBIRP Small Business Innovative Research Program

SCUP School, College, University Partnership Program (ED)

SEC Securities and Exchange Commission

SI Smithsonian Institution

SPRANS Special Projects of Regional & National Significance (HRSA)

STIS Science & Technology Information System (NSF)

STTR Small Business Technology Transfer Program

S&W Salaries & Wages

TDC Total Direct Costs

TMDC Total Modified Direct Costs

TRIO Division of Student Services Programs (ED)

USAID United States Agency for International Development (also AID) (IDCA)

USDA United States Department of Agriculture

USIA United States Information Agency

Appendix C

## Glossary Of Grant Related Terms

**\*Abstract:** A short summary of a project or program including all pertinent aspects of the sponsored activity, a summary of the objectives and expected results. The abstract is usually less than 350 words and limited to one double spaced typed page.

**Annual report:** A voluntary report issued by a foundation or corporation that provides financial data and descriptions of its grantmaking activities. Annual reports vary in format from simple typewritten documents listing the year's grants to detailed publications that provide substantial information about the grantmaker's grantmaking programs.

**Assets:** The amount of capital or principal — money, stocks, bonds, real estate, or other resources — controlled by a foundation or corporate giving program. Generally, assets are invested and the resulting income is used to make grants.

**Associates program:** A fee-based membership program of the Foundation Center providing toll-free telephone reference, photocopy and fax service, and computer searches of Foundation Center databases.

**Beneficiary:** In philanthropic terms, the donee or grantee receiving funds from a foundation or corporate giving program is the beneficiary, although society benefits as well.

**Bricks and Mortar:** An informal term for grants for buildings or construction projects.

**Capital support:** Funds provided for endowment purposes, buildings, construction, or equipment, and including, for example, grants for "bricks and mortar."

**CD-ROM:** Acronym for Compact Disk-Read Only Memory. CD-ROMs are high-capacity computer disks that allow publishers and other information providers to distribute large amounts of information in a searchable format.

**Challenge grant:** A grant that is paid only if the donee organization is able to raise additional funds from other sources. Challenge grants are often used to stimulate giving from other donors. See also matching grant.

**Community foundation:** A 501(c)(3) organization that makes grants for charitable purposes in a specific community or region. The funds available to a community foundation are usually derived from many donors and held in an endowment that is independently administered; income earned by the endowment is then used to make grants. Although a community foundation may be classified by the IRS as a private foundation, most are classified as public charities and are thus eligible for maximum tax-deductible contributions from the general public. See also 501(c)(3); public charity.

**Community fund:** An organized community program which makes annual appeals to the general public for funds that are usually not retained in an endowment but are instead used for the ongoing operational support of local agencies. See also federated giving program.

**Company-sponsored foundation (also referred to as a corporate foundation):** A private foundation whose assets are derived primarily from the contributions of a for-profit business. While a company-sponsored foundation may maintain close ties with its parent company, it is an independent organization with its own endowment and as such is subject to the same rules and regulations as other private foundations. See also private foundation.

**Cooperating Collection:** A member of the Foundation Center's network of libraries, community foundations, and other nonprofit agencies that provides a core collection of Center publications in addition to a variety of supplementary materials and services in areas useful to grantseekers.

**Cooperative venture:** A joint effort between or among two or more grantmakers. Cooperative venture partners may share in funding responsibilities or contribute information and technical resources.

**Corporate foundation:** See company-sponsored foundation.

**Corporate giving program:** A grantmaking program established and administered within a for-profit corporation. Because corporate giving programs do not have separate endowments, their annual grant totals generally are directly related to company profits. Corporate giving programs are not subject to the same reporting requirements as corporate foundations.

**\*Cost sharing:** see matching grant

**DIALOG:** An online database information service made available by Knight Ridder Information Services, Inc. The Foundation Center offers two large files on foundations and grants through DIALOG.

**\*Direct Costs:** Includes all items that can be categorically identified and charged to the specific project, such as personnel, fringe benefits, consultants, subcontractors, travel, equipment, supplies and materials, communications, computer time, and publication charges.

**Distribution committee:** The committee responsible for making grant decisions. For community foundations, the distribution committee is intended to be broadly representative of the community served by the foundation.

**Donee:** The recipient of a grant. (Also known as the grantee or the beneficiary.)

**Donor:** An individual or organization that makes a grant or contribution to a donee. (Also known as the grantor.)

**Employee matching grant:** A contribution to a charitable organization by an employee that is matched by a similar contribution from his or her employer. Many corporations have employee matching-gift programs in higher education that encourage their employees to give to the college or university of their choice.

**Endowment:** Funds intended to be invested in perpetuity to provide income for continued support of a not-for-profit organization.

**Expenditure responsibility:** In general, when a private foundation makes a grant to an organization that is not classified by the IRS as a "public charity," the foundation is required by law to provide some assurance that the funds will be used for the intended charitable purposes. Special reports on such grants must be filed with the IRS. Most grantee organizations are public charities and many foundations do not make "expenditure responsibility" grants.

**Family foundation:** An independent private foundation whose funds are derived from members of a single family. Family members often serve as officers or board members of family foundations and have a significant role in their grantmaking decisions. See also operating foundation; private foundation; public charity.

**Federated giving program:** A joint fundraising effort usually administered by a nonprofit "umbrella" organization that in turn distributes the contributed funds to several nonprofit agencies. United Way and community chests or funds, the United Jewish Appeal and other religious appeals, the United Negro College Fund, and joint arts councils are examples of federated giving programs. See also community fund.

**Field offices:** The Washington, D.C., Atlanta, Cleveland, and San Francisco reference collections operated by the Foundation Center, all of which offer a wide variety of services and comprehensive collections of information on foundations and grants.

**501(c)(3):** The section of the tax code that defines nonprofit, charitable (as broadly defined), tax-exempt organizations; 501(c)(3) organizations are further defined as public charities, private operating foundations, and private non-operating foundations. See also operating foundation; private foundation; public charity.

**Form 990-PF:** The public record information return that all private foundations are required by law to submit annually to the Internal Revenue Service.

**General/operating support:** A grant made to further the general purpose or work of an organization, rather than for a specific purpose or project; also called an unrestricted grant.

**General purpose foundation:** An independent private foundation that awards grants in many different fields of interest. See also special purpose foundation.

**Grantee financial report:** A report detailing how grant funds were used by an organization. Many corporate grantmakers require this kind of report from grantees. A financial report generally includes a listing of all expenditures from grant funds as well as an overall organizational financial report covering revenue and expenses, assets and liabilities.

**Grassroots fundraising:** Efforts to raise money from individuals or groups from the local community on a broad basis. Usually an organization's own constituents — people who live in the neighborhood served or clients of the agency's services — are the sources of these funds. Grassroots fundraising activities include membership drives, raffles, auctions, benefits, and a range of other activities.

**Guidelines:** Procedures set forth by a funder that grantseekers should follow when approaching a grantmaker.

**Independent foundation:** A grantmaking organization usually classified by the IRS as a private foundation. Independent foundations may also be known as family foundations, general purpose foundations, special purpose foundations, or private non-operating foundations. The Foundation Center places independent foundations and company-sponsored foundations in separate categories; however, federal law normally classifies both as private, non-operating foundations subject to the same rules and requirements. See also private foundation.

**\*Indirect costs:** Costs that have been incurred for common or joint objectives of the university and the sponsored program, and which, therefore, cannot be identified specifically in reference to a particular project, such as building operations and maintenance, laboratory space, library service, utilities, and administrative services.

**In-kind contribution:** A contribution of equipment, supplies, or other tangible resource, as distinguished from a monetary grant. Some organizations may also donate the use of space or staff time as an in-kind contribution.

**Matching grant:** A grant that is made to match funds provided by another donor. See also challenge grant; employee matching gift.

**Microfiche:** Flat strips of microfilm. The Foundation Center collects and makes available foundation 990-PFs on microfiche mounted on aperture cards by the IRS.



**Operating foundation:** A 501(c)(3) organization classified by the IRS as a private foundation whose primary purpose is to conduct research, social welfare, or other programs determined by its governing body or establishment charter. An operating foundation may make grants, but the sum generally is small relative to the funds used for the foundation's own programs. See also 501(c)(3).

**Operating support grant:** A grant to cover the regular personnel, administrative, and miscellaneous expenses of an existing program or project. See also general/operating support.

**Orientation:** An introduction to available resources and fundraising research strategies presented by Foundation Center library staff. Supervisors at Cooperating Collections may conduct orientation sessions as well.

**Payout requirement:** The minimum amount that private foundations are required to expend for charitable purposes (including grants and, within certain limits, the administrative cost of making grants). In general, a private foundation must meet or exceed an annual payout requirement of five percent of the average market value of its total assets.

**Private foundation:** A nongovernmental, nonprofit organization with funds (usually from a single source, such as an individual, family, or corporation) and program managed by its own trustees or directors. Private foundations are established to maintain or aid social, educational, religious, or other charitable activities serving the common welfare, primarily through the making of grants. See also 501(c)(3); public charity.

**Program amount:** Funds that are expended to support a particular program administered internally by a foundation or corporate giving program.

**Program officer:** A staff member of a foundation who reviews grant proposals and processes applications for the board of trustees. Only a small percentage of foundations have program officers.

**Program-related investment (PRI):** A loan or other investment (as distinguished from a grant) made by a foundation to another organization for a project related to the foundation's philanthropic purposes and interests.

**Proposal:** A written application, often accompanied by supporting documents, submitted to a foundation or corporate giving program in requesting a grant. Most foundations and corporations do not use printed application forms but instead require written proposals; others prefer preliminary letters of inquiry prior to a formal proposal. Consult published guidelines.

**Public charity:** A nonprofit organization that qualifies for tax-exempt status under section 501(c)(3) of the IRS code. Public charities are the recipients of most foundation and corporate grants. Some public charities also make grants. Public charities are eligible for maximum income tax-deductible contributions from the public and are not subject to the same rules and restrictions as private foundations. Some are also referred to as "public foundations" or "publicly supported organizations" and may use the term "foundation" in their names. See also 501(c)(3); private foundation.

**Qualifying distributions:** Expenditures of a private foundation made to satisfy its annual payout requirement. These can include grants, reasonable administrative expenses, set-asides, loans and program-related investments, and amounts paid to acquire assets used directly in carrying out tax-exempt purposes.

**Query letter:** A brief letter outlining an organization's activities and its request for funding that is sent to a potential grantmaker in order to determine whether it would be appropriate to submit a full grant proposal. Many grantmakers prefer to be contacted in this way before receiving a full proposal.

**\*Research:** "The Code of Federal Regulations defines research as "...a systematic investigation, including research development, testing and evaluation, designed to develop or to contribute to generalized knowledge."

**RFP:** An acronym for Request for Proposal. When the government issues a new contract or grant program, it sends out RFPs to agencies that might be qualified to participate. The RFP lists project specifications and application procedures. While a few foundations occasionally use RFPs in specific fields, most prefer to consider proposals that are initiated by applicants.

**\*Scholarship:** any activity "of critical, systematic investigation in one or more fields and the submission of one's findings for criticism by professional peers and the public through published writings, lectures, or other modes of presentation."

**Seed money:** A grant or contribution used to start a new project or organization. Seed grants may cover salaries and other operating expenses of a new project.

**Set-asides:** Funds set aside by a foundation for a specific purpose or project that are counted as qualifying distributions toward the foundation's annual payout requirement. Amounts for the project must be paid within five years of the first set-aside.

**Special purpose foundation:** A private foundation that focuses its grantmaking activities in one or a few areas of interest. See also general purpose foundation.

**Sponsorship:** Affiliation with an existing nonprofit organization for the purpose of receiving grants. Grantseekers may either apply for federal tax-exempt status or affiliate with a nonprofit sponsor.

**Tax-exempt:** Refers to organizations that do not have to pay taxes such as federal or state corporate tax or state sales tax. Individuals who make donations to such organizations may be able to deduct these contributions from their income tax.

**Technical assistance:** Operational or management assistance given to nonprofit organizations. It can include fundraising assistance, budgeting and financial planning, program planning, legal advice, marketing, and other aids to management. Assistance may be offered directly by the staff of a foundation or corporation, or it may be provided in the form of a grant to pay for the services of an outside consultant. See also in-kind contributions.

**Trustee:** A foundation board member or officer who helps make decisions about how grant monies are spent. Depending on whether the foundation has paid staff, trustees may take a more or less active role in running its affairs.

## Georgia Southwestern State University

### Timeline for Development/Approval for Proposal for External Funding

- \_\_\_\_\_ Date proposal is due: sent/postmarked to funding agent
- \_\_\_\_\_ 2 Days before mailing: receive from President signed original for final preparation of copies for mailing
- \_\_\_\_\_ 10 Days before due date or mailing date: full proposal with VPBF signature to VPAA
- \_\_\_\_\_ 12 Days before due date or mailing date: final budget sign off by VPBF
- \_\_\_\_\_ 20 days before due date: provide draft budget to VPBF for initial review and input
- \_\_\_\_\_ 30 days before due date: provide VPAA with proposal synopsis; contact IRB to establish review process within signoff timeline

**Georgia Southwestern State University  
Approval to Submit Proposal for External Funding**

Project Title: \_\_\_\_\_ Acct # \_\_\_\_\_

Project Director: \_\_\_\_\_ Phone: \_\_\_\_\_ Department: \_\_\_\_\_

Co-Project Directors (if any): \_\_\_\_\_

Funding Source: \_\_\_\_\_

Deadlines: Proposal must be: \_\_\_ postmarked by \_\_\_/\_\_\_/\_\_\_ Received by \_\_\_/\_\_\_/\_\_\_

Project period (inclusive dates): From \_\_\_/\_\_\_/\_\_\_ To \_\_\_/\_\_\_/\_\_\_

Brief layperson's description of this project: \_\_\_\_\_

<b>Budget</b>	<b>Request From Funding Source</b>	<b>GSW Contributions</b>	<b>Other Sources</b>	<b>Total</b>
Salaries and Wages	\$ _____	\$ _____	\$ _____	\$ _____
Fringe Benefits <i>(refer to last page)</i>	\$ _____	\$ _____	\$ _____	\$ _____
Other Direct Costs	\$ _____	\$ _____	\$ _____	\$ _____
Matching Contributions**	\$ _____	\$ _____	\$ _____	\$ _____
In-Kind Contributions**	\$ _____	\$ _____	\$ _____	\$ _____
Indirect Costs <i>(maximum 46% of salaries &amp; wages only)</i>	\$ _____	\$ _____	\$ _____	\$ _____
<b>Total Project Costs:</b>	\$ _____	\$ _____	\$ _____	\$ _____

**Matching/In-Kind Commitment:** *The source of matching and in-kind funds must be identified and approved.*

Department \_\_\_\_\_ Approved \_\_\_\_\_ \$ \_\_\_\_\_ Source \_\_\_\_\_

Georgia Southwestern State University's Commitment

\_\_\_ Yes \_\_\_ No Does GSW have any expressed or implied responsibility after the sponsor terminates support for this grant or contract? If yes, explain:

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\_\_\_ Yes \_\_\_ No Is this proposal competitive?

Is the funding Federal, State or private? Circle answer.

Yes  No In addition to what is provided from the proposal, does the project require additional  
\_\_ personnel, \_\_ space, \_\_ equipment, \_\_ replacement instructors,  
\_\_ consultants, \_\_ subcontractors? If yes, explain: \_\_\_\_\_

---

Yes  No Is partial or full salary support requested for current GSW employees?  
 Yes  No Does the proposal provide for \_\_ equipment maintenance \_\_ computer network time?  
 Yes  No Does the proposal involve \_\_ human subjects, \_\_ research animals,  
\_\_ drugs or controlled substances, \_\_ radiation research, \_\_ potential biohazard,  
\_\_ significant computer use, \_\_ potential conflict of interest.

If yes, explain \_\_\_\_\_

**I agree to abide by current University policies on conflicts of interest, misconduct in science, the use of human subjects and vertebrate animals in research and other GSW research policies as appropriate. I certify that the required actions regarding compliance have been taken, and that my associates on this project will be informed of the requirements of these policies.**

Project Director \_\_\_\_\_ Date \_\_\_\_\_

**Approval (must be obtained before the proposal is mailed):**

Department Head \_\_\_\_\_ Date \_\_\_\_\_

School Dean \_\_\_\_\_ Date \_\_\_\_\_

V.P. of Academic Affairs \_\_\_\_\_ Date \_\_\_\_\_

V.P. Business & Finance \_\_\_\_\_ Date \_\_\_\_\_

Signatures on this completed form indicate the proposal is in accord with the capabilities and policies of department/dean/university and complies with the Board of Regents and sponsoring agency regulations. With this approval is the permission to pursue outside funding for this project. The University reserves the right to review awards before final acceptance of funding.

For proposal and policy tracking purposes, send:

**\_\_ a copy of the routing sheet, proposal and budget sheet to the: Vice President for Academic Affairs, Vice President for Business and Finance, and the Comptroller.**

**FY \_\_\_\_\_ PROJECT/GRANT BUDGET**

<b>PROJECT/GRANT NAME:</b>
<b>PROJECT/GRANT NUMBER:</b>

<b>Account Description</b>	<b>Budgeted Amount</b>
<i>Personal Services</i>	
Faculty	
Part Time Faculty	
Summer Faculty	
Graduate Assistants	
Professional & Administrative Staff (monthly)	
Part Time Administrator	
Staff (biweekly)	
Overtime	
Part Time Clerical Staff	
Student Assistant	
FICA	
FICA MED	
Retirement	
Health Insurance	
Basic Life	
<i>Non-Personal Services</i>	
Travel	
Supplies & Materials-Office	
Supplies & Materials-Postage	
Supplies & Materials-Other	
Repairs & Maintenance	
Rentals-Non RealEstate	
College Work Study	
Dues & Membership	
Software	
Printing & Publications	
Equipment Non Inventory	
Per Diem-Consultant	
Per Diem-Other	
Per Diem-Reimbursable Expense	
Telecommunications-Local	
Telecommunications-Toll	
<b>Total Budget</b>	

## Calculation of Fringe Benefits

For a new full time position use 1.45% fica med, 6.2% fica, 10.03% retirement, \$180 basic life, and \$11,751 for maximum health

For faculty additonal pay use 1.45% fica med and 6.2% fica

For Part Time Faculty use 1.45% fica med

For Summer Faculty use 1.45% fica med and 6.2% fica, and 10.03% retirement

For Graduate Assistants no fringe benefits are calculated

For Professional/Admin use 1.45% fica med and 6.2% fica

For Part Time Administrator (monthly employee) use 1.45% fica med

For overtime use 1.45% fica med and 6.2% fica

For Part Time Clerical Staff use 1.45% fica med

For Student Assistants no fringe benefits are calculated

**IX. Institutional Review Board Policies and Procedures (Institutional Review Board)**

**INSTITUTIONAL REVIEW BOARD POLICIES AND PROCEDURES**

**THE INVESTIGATOR'S GUIDE TO RESEARCH  
INVOLVING HUMAN SUBJECTS**

**INSTRUCTIONS FOR RESEARCH PRESENTATION TO THE INSTITUTIONAL  
REVIEW BOARD OF GEORGIA SOUTHWESTERN STATE UNIVERSITY**



## INTRODUCTION

The Institutional Review Board for Human Use (IRB) is a committee that reviews all research involving human subjects conducted at Georgia Southwestern State University (GSW). The aim of IRB review is to assure that research is conducted in an ethical manner. This includes ensuring that risks to subjects are minimized, selection of subjects is equitable, and subjects are informed fully of what their participation will involve.

The IRB staff reviews all applications for extramural support as part of the review by the Office of Institutional Research. The staff verifies whether or not the application involves human subjects. For studies involving human subjects, the staff confirms that the study has IRB approval or, if it requires review, provides the appropriate forms for submission with the application.

It is GSW policy that **no research involving human subjects may be undertaken until approval has been granted by the IRB**. For these purposes, human subjects are defined as not only living persons, but also human tissue, blood samples, pathology or diagnostic specimens, and medical records. Research is defined as a systematic investigation designed to develop or contribute to generalized knowledge. These guidelines also apply to student projects done for classes or independent study. However, in-class demonstrations done for the purpose of illustrating a specific educational concept (e.g., research design, sampling bias, memory) do not.

An application for review of a research project involving human subjects is processed by the IRB in one of three ways:

1. Exempted Review Application
2. Expedited Review Application
3. Full Review Application

**All IRB materials and correspondence should be submitted to the IRB Chairperson. Investigators who require contact information for the IRB Chairperson should request that information from the Office of Academic Affairs, Room 205, Administration Building, (229) 928-1361.**

## SPECIAL APPROVALS

### Other Institutions

If subjects from another institution (hospital, school, business, etc.) comprise all or part of the population for this study, or if any part of the research will occur on the grounds of another institution, it is necessary to provide written documentation that the other institution approves of the research to be conducted. If the other institution has its own IRB or research review panel, then that IRB or panel must approve the study, and a copy of its approval must be attached to the GSW IRB application. If the other institution does not have its own IRB or review panel, then written approval should be obtained from an authorized official of that institution and submitted along with the GSW IRB application. If it is not possible to obtain the other institution's written approval prior to submission of materials to the GSW IRB, then a statement of preliminary contacts with the appropriate officials should be attached to materials submitted for GSW IRB review. Approval from the other institution does not guarantee GSW IRB approval. Furthermore, a project that receives GSW IRB approval but does not receive approval from the other institution cannot be conducted at that institution; GSW IRB approval does not "override" the approval of the other institution.

### Research Conducted at a Veterans Administration Medical Center

All research conducted at a Veterans Administration Medical Center (VAMC) involving human subjects is reviewed not only by the IRB, but also by the VAMC's Research and Development Committee. Research

protocols may be reviewed concurrently by both the GSW IRB and the VAMC's Research and Development Committee. Both the GSW IRB and the VAMC must approve the project before it can be conducted, and these approvals are considered and granted independently.

### Advertisements

Advertisements that incorporate the GSW name or logo must be approved by the Office of University Relations as well as the IRB. Investigators should contact University Relations at 931-2028.

Advertisements should be limited to the following information:

1. The name and address of the investigator;
2. The purpose of the research and a summary of the eligibility criteria;
3. A description of the benefits;
4. The location of the research; and
5. The person to contact for further information.

## **GENERAL INFORMATION**

### Inclusion of Women and Minorities in Research

Women and minorities are often underrepresented in research. Their inclusion is important to ensure that they receive an appropriate share of the benefits of research. Moreover, their inclusion facilitates the generalization of research results. Therefore, investigators must include the widest possible range of population groups in their subject pool. If the phenomenon to be studied may affect one gender or minority group differently, investigators should cite research evidence or lack thereof and describe how the proposed research addresses that evidence. Investigators should be prepared to describe the extent to which both genders and persons of various ethnic and racial backgrounds are or have been involved in similar research. **Please note in the protocol if potential participants will be recruited without regard to gender and/or race.**

### Duration of IRB Approval

IRB approval is given for one year, unless otherwise specified, commencing with the approval date. **Research activities may not continue past the one-year anniversary of the IRB approval date.** For certain projects with unusual risks, the IRB may specify a period of approval shorter than one year. In all cases, the investigator will receive a letter indicating the approval date or listing any required modifications upon which approval is contingent. In addition to the approval form, the investigator will receive one copy of the consent form stamped with the IRB approval date. Copies of this stamped consent form must be used for study participants. If modifications to the protocol are required by the IRB, approval is contingent upon the IRB receiving written notice from the investigator specifying that the changes have been made. IRB approval will not be issued until the required changes have been reviewed and approved, and the period of approval will commence with the date on which the changes were approved.

Renewal notices are issued by the IRB Chairperson prior to the protocol approval expiration date. However, **the investigator is responsible for monitoring approval and expiration dates and ensuring that necessary renewal forms are submitted on time.**

### Amendments or Changes to the Protocol and/or the Consent Form

**The investigator must report to the IRB any modifications in the consent form, study methodology, and/or protocol.** This report should take the form of a memo submitted to the IRB Chairperson describing the proposed changes and their effects on the current protocol. These changes

must be reported before they are implemented. If the consent form is being changed for any reason, a copy of the revised consent form should be submitted with all changes highlighted. IRB approval may be rescinded if the modifications to the protocol or consent form are considered to render the study unethical.

#### Adverse Effects or Unanticipated Problems

The investigator must report promptly to the IRB any research-related injuries to human subjects or any unanticipated risks to subjects or others at participating sites. Any research project that results in unexpected serious physical, psychological, or emotional harm to the subjects must be terminated immediately. If the research involves an investigational new drug or device, the investigator must also report such incidents to the sponsoring agency and/or the FDA.

### **THE INFORMED CONSENT PROCESS**

Informed consent is one of the primary ethical considerations underlying research with human subjects. Informed consent is not just a piece of paper that must be signed, but rather an ongoing educational process that takes place between the investigator and prospective subject. In most cases, federal regulations require that informed consent be documented. It should be reiterated, however, that the consent document does not substitute for discussion. A potential subject's assent (verbal or nonverbal agreement to participate in a study) is insufficient; the informed consent form should be signed for all subjects.

Appendix A contains a prototype of the standardized consent form and a sample consent form that adheres to the guidelines stated on the prototype and on pages 4-7. Below are instructions for preparing the consent form. Please follow all instructions carefully.

1. Use the standardized consent form (Appendix A). Items with asterisks may be deleted if they are not applicable.
2. The language in the form should be aimed at a sixth-grade reading level. Do not use technical jargon.
3. If the research involves the participation of minors (under 14 years of age), please read the section "Description of Requirements for Research Involving Children."
4. If the research involves pregnant women, both the mother and father must give consent after having been fully informed regarding the potential impact of the research on the fetus. (NOTE: Federal regulations do specify certain conditions under which the father's consent is not necessary. For a list of those conditions, see the following section on "Signatures.")
5. If the research could possibly put at risk an unborn child or a man or woman's ability to procreate, the following statement(s) (revised to meet the needs of your particular study) should be included in the consent form:  
  
"If I am pregnant, I cannot participate in this study. If I am a woman of child-bearing potential, it will be necessary to have a urine test to see if I am pregnant before I start this study. If I am a sexually active male or female, I agree to take precautions to avoid the possibility of impregnation because it is not known how this drug (treatment, device, etc.) will affect an unborn child. If I become pregnant during the course of the study, I agree to notify the principal investigator of this fact as soon as possible."
6. If VA patients who have been deemed incompetent are to be enrolled in the study, additional requirements may be necessary for the consent form and additional procedures implemented to

ensure the patient's rights are protected. These additional requirements can be obtained through the Research Office at the VAMC.

7. If the researcher believes that bodily fluids, tissues, or other substances of a research subject could be part of or lead to the development of a commercially valuable product, the consent form should contain the following statement:

"By my consent to participate in this research study, I give up any property rights I may have in my bodily fluids, tissues, or substances."

#### IRB Approval Stamp

Consent forms receiving initial approval (i.e., new applications) will be validated with an approval stamp that includes dates for which the approval is effective. Only consent forms with a valid IRB approval stamp should be used to enroll subjects.

#### Format of Consent Forms

Consent forms should follow the standard format depicted in Appendix A. The basic elements of a consent form are listed below.

1. Explanation of Procedures: The consent form must be written in non-technical language and should contain an explanation of the study's purpose and a description of the procedures to be followed. If experimental and control groups are to be used, then the chances and consequences of being enrolled in each group must be explained.
2. Risks or Discomforts: Any reasonably foreseen risks or discomforts resulting from participation should be described. The consent form should also specify what types of treatment, if any, will be provided to subjects who receive a research-related injury and state who is responsible for providing and paying for that treatment. It should be explicitly stated that GSW has made no provisions for monetary compensation in the event of research-related injury, and that in the event of such injury, medical treatment is not provided free of charge. If a sponsoring agency has agreed to provide compensation or treatment to injured research subjects, documentation of this agreement should be submitted to the IRB along with the application.
3. Benefits: Any direct benefits to the subject, as well as general benefits that are anticipated (e.g., furthering of knowledge, help to others in similar situations in the future), should be identified.
4. Confidentiality: Methods for establishing and maintaining confidentiality should be described. If any other agency (e.g., federal government, corporate sponsor) will have access to the subjects' records, this should be indicated.
5. Withdrawal: The consent form should state any anticipated circumstances under which the subject's participation may be terminated by the investigator without the subject's consent (e.g., noncompliance with instructions). Additionally, the consequences of a subject's decision to withdraw from the research, and procedures for orderly termination of participation by the subject, should also be stated.
6. Costs and Payments to Subject for Participation: The consent form should specify any costs the subject will have to bear as a result of participation. Examples of possible costs include charges for medications, medical tests, or devices. However, medications the subject is currently taking, devices the subject already owns, or medical tests the subject has already received do not apply. The consent form should also specify the amount and nature of payment or other compensation given to the subject for research participation, as well as the conditions under which payment will not be given.

7. New Findings: The consent form should contain a statement noting that significant new findings developed or obtained during the course of the research will be provided to the subject if these findings could reasonably be expected to affect a subject's willingness to continue participation in the study.
8. Questions: The consent form should contain an offer to answer any of the subject's research-related questions and should include a specific name and telephone number of the person to whom research-related inquiries may be directed. The name and number of the person or persons to contact if the subject needs more information regarding compensation or his or her rights, or in the event of a research-related injury, should also be provided.
9. Legal Rights: The consent form should state that the subject is not waiving any legal rights by signing the form.
10. Initials: If the consent form has more than one page, then a line for the subject's initials should be included at the bottom of each individual page, except for the page which contains the signature lines.
11. Signatures: Each consent form should provide a place for the signature of the subject or that subject's legally authorized representative, a witness (not the investigator), and the investigator. The dates of receipt of these signatures should also be indicated.

For research involving children, the consent form should also provide a place for the "Assent of Child" and/or "Waiver of Assent" (see Appendix B).

For research involving people whose legal competence is questionable or who have been judged incompetent in a court of law, a signature from a guardian or other authorized representative may be substituted for the subject's. However, the subject's assent is still required unless it can be reasonably waived.

For research involving pregnant women, the consent form should include a signature line for both mother and father if they have been fully informed regarding possible impact on the fetus. The father's informed consent need not be obtained if one of more of the following situations applies:

1. The purpose of the research activity is to meet the health needs of the mother
2. The father's identity or whereabouts cannot be reasonably ascertained
3. The father is not reasonably available due to military duty, incarceration, etc.
4. The pregnancy resulted from rape
5. The mother has reason to believe that her safety or the safety of her unborn child would be in danger if the father were contacted

For clarification or additional information, contact the IRB Chairperson.

#### Research Involving Children as the Subjects

For research involving children, the following conditions must be met:

##### Assent of Child

Assent means the potential subject's affirmative agreement to participate in the research. Mere failure to object should not, in the absence of affirmative agreement, be construed as assent. The following list indicates how assent of children should be handled for children of different ages.

1. For children under 7 years of age, the child is assumed to be incapable of giving assent, and parental consent is all that is required for participation.
2. For children 7-13 years of age, the assent of the child or documentation of the reason for waiver of the assent is required. Assent of the child may be waived if the capability of the child to give assent is judged limited by age, maturity, or psychological state. An example signature page of a consent form for research involving children is in the Appendix.
3. Adolescents 14 years of age and over are considered able to sign a consent form as an adult.

#### Parental Consent

1. If the proposed research involves no more than minimal risk, or is of possible direct benefit to the child, the consent of only one parent is required.
2. If the research involves greater than minimal risk without direct individual benefit, permission must be obtained from both parents unless there is only one reasonable available parent. Guardian consent should be substituted for parental under appropriate legal constraints.
3. The Investigator may request a waiver of parental or guardian consent if the research design does not require such consent to protect the subjects (for example, neglected or abused children), provided an appropriate protection mechanism is substituted.
4. Special provisions must be made for children who are wards of the state or any other agency, institution, or entity to be included in research involving greater than minimal risk without direct individual benefit.

## **IRB EXEMPTION**

### PROCEDURE FOR REQUESTING AN IRB Exemption

It is possible to obtain exemption from IRB review for certain types of noninvasive projects, such as those involving educational tests, analyses of existing data sets, and studies of taste and food quality (see Appendix C for a complete list of exemption categories and the Exemption Application). However, exemption must be formally granted and not merely assumed by the investigator. To apply for exemption from IRB review, the investigator must complete one copy of the Exemption Application (Appendix C) and return it to the IRB Chairperson. If a questionnaire is to be used, one copy should be attached to the application.

Consent forms may not be necessary if the study falls into categories 2, 3, and/or 4 on the Exemption Application. However, investigators are encouraged to design consent forms for all studies, even those for which an exemption will be requested.

If the investigator will be using pathological or diagnostic specimens, a release form is required from the agency responsible for providing the specimens. The specimen release forms should be attached to the IRB exemption application form.

There are no deadlines for submission of Exempted Review applications; however, investigators should allow at least one month for the application to be processed and approved. If there are any questions regarding the exemption application, please the IRB Chairperson. The completed application form should be mailed or delivered the IRB Chairperson.

### Exempted Review for Research Involving Children

Exempted review category 2 (survey or interview procedures) on the Exemption Application form cannot be applied to research proposals involving children (persons under 14 years of age) as subjects. In addition, category 3 is applicable to research involving children only where the investigator does not participate in the activities being observed.

## **EXPEDITED REVIEW**

### Procedures and General Information for Expedited Review

Expedited review is intended for research activities which involve no more than minimal risk to the human subjects and which can be placed in one or more of the ten categories listed on the application form (see Appendix D).

To apply for expedited review, the investigator must submit the following materials to the IRB Chairperson:

1. The Expedited Review application (Appendix D) with a check by the category or categories which he/she is claiming for Expedited Review
2. A copy of the Expedited Review Human Subjects Protocol (Appendix E)
3. A copy of the consent form (Appendix A, and B if necessary)

If a questionnaire is to be used, the investigator should attach a copy to this application.

If the investigator will be using pathological or diagnostic specimens, a release form is required from the agency responsible for providing the specimens. The specimen release should be attached to the application form.

The original Expedited Review application and **two copies** must be submitted. All materials should be submitted to the IRB Chairperson. There are no deadlines for submission of Expedited Review applications; however, investigators should allow at least one month for the application to be processed.

### Expedited Review for Research Involving Children

Expedited review is not allowed for research where children (persons under 14 years of age) are the subjects. In addition, for categories 3 and 4 on the Expedited Review application (Appendix D), expedited review is not allowed unless the subjects are over 18 years of age.

## **IRB FULL REVIEW**

Projects that involve investigational drugs or devices, or extensive and/or invasive data collection, require full IRB review. Full Review may also be required for projects involving children, adults with cognitive impairment, or people of any age who are deemed to be “vulnerable populations” due to inability to freely give informed consent.

### Instructions for IRB Submission

The instructions and forms necessary for IRB Full Review can be found on the following pages. The attached forms may be reproduced as necessary.

**The IRB meets on the second Wednesday of each month. All materials should be submitted to the IRB Chairperson at least two weeks prior to the meeting.** Should holidays appear to conflict with meetings or deadlines, please contact the IRB Chairperson for clarification. Investigators are welcome to attend IRB meetings, but are not required to do so. If an investigator plans to attend the meeting, he/she should notify the IRB Chairperson. The following list briefly describes the procedures to be undertaken by the investigator prior to submission to the IRB.

1. Complete the Human Subjects Protocol (Appendix F).
2. Obtain any special approvals that may be required.
3. Develop a consent form in compliance with IRB standards.
4. Submit the following materials to the IRB office prior to the deadline:
  - A. The original Human Subjects Protocol (Appendix F) signed by the investigator plus 9 copies;
  - B. Ten copies of the consent form (Appendix A, and B if necessary);
  - C. Ten copies of any questionnaire to be used;
  - D. Ten copies of any recruitment materials, including advertisements;
  - E. Ten copies of the sponsor's protocol, the grant/funding application, and/or scientific evaluations, if any, that accompany the protocol;
  - F. Ten copies of any special approvals.

The materials should be collated into ten separate sets. Each set should have one each of items A through F, in that order. Each set should be fastened securely with a staple or clip. Please do not put sets in envelopes, folders and/or binders.

### THE HUMAN SUBJECTS PROTOCOL

The human subjects protocol as shown in Appendix F enables the investigator to furnish considerable background information with a minimum of effort. Since a single protocol is used for all types of research requiring full review, some questions may not be applicable to the proposed study. Where questions do not apply, enter "NA" in the space provided.

The IRB prefers that the forms provided in this guidebook be used for submitting protocols for review. However, many investigators find it convenient to print the text of the IRB forms on a word processor. This is acceptable, but the IRB insists that responses to the questions be clearly distinguished from the questions themselves (by a different font, type size, etc.). Also, the pages should be in the same format as those provided in this guidebook.

The investigator must complete the entire protocol, including the outlined sections shown as items 11-14. Use additional pages as necessary to discuss each topic fully. Grant applications and/or sponsor's protocols will not be accepted in lieu of answering the questions outlined in the instructions. Since many members of the IRB are by law nonprofessional, and even the professional members have technical expertise in limited areas, the use of understandable, nontechnical language is essential.



### Renewal Instructions

For multi-year projects, annual IRB approval is required. Studies in which no new subjects are being entered, but one or more persons are being followed, still require renewal of the IRB approval. For renewal of IRB approval, the principal investigator must submit to the IRB the following materials:

1. The original and 9 copies of the Investigator's Progress Report (Appendix G);
2. Ten copies of the most recently approved consent form, minus the previous IRB approval stamp;
3. Ten copies of the complete protocol including any modifications previously approved; and
4. Ten copies of any progress reports sent to the sponsoring/funding agency.

The renewal materials should be collated into ten separate sets, with each set having one Progress Report and one consent form. Each set should be securely fastened, preferably with a standard staple. The copies of the protocol and/or agency progress reports should be included in the packets.

### Renewal Instructions for Protocols Closed to Patient Accrual

For renewal of protocols where subjects are still participating in the study and/or receiving treatment, but no new subjects will be enrolled, the investigator should submit the original and ten copies of the Progress Report and ten copies of the complete protocol, including any modifications previously approved. Question #9 of the Progress Report should note that the protocol is open for follow-up purposes only.

For renewal of protocols where all subjects have completed the study but long-term survival follow-up is being continued, the investigator should submit the original and 10 copies of the Progress Report, noting on Question #9 of the Progress Report that the protocol is open for long-term survival follow-up purposes only.

### Final Report Instructions

If the project is completed, submit ten copies of a Final Progress Report. Use the form for the Investigator's Progress Report (Appendix G) and add the word "FINAL" to the top of the form. The Final Progress Report should include the following:

1. State the final number of subjects entered into the study at GSW.
2. State any side effects or problems that occurred since the last report to the IRB.
3. Describe the positive and negative results of the study.

**APPENDIX A**

**SAMPLE CONSENT FORM**

(Leave space for IRB Stamp in upper right-hand corner. Use the format specified below. Items in italics may be deleted if not applicable. All other items should be included. Also, include any applicable items listed on the preceding instructions. Delete instructions and inapplicable italicized items before submission.)

**CONSENT TO PARTICIPATE IN A RESEARCH STUDY**

\_\_\_\_\_  
(Full Institution Name)

**TITLE OF STUDY:**

\_\_\_\_\_  
*(If the study involves an external agency, list official sponsor protocol title)*

**INVESTIGATOR INFORMATION:**

\_\_\_\_\_  
(Principal Investigator Name)

\_\_\_\_\_  
(Telephone Number)

I, \_\_\_\_\_, have been asked to participate in a research study under the direction of \_\_\_\_\_  
\_\_\_\_\_ and the medical supervision of Dr. \_\_\_\_\_. Other professional persons who work  
with him/her/them as study staff may assist or act for him/her/them.

**PURPOSE:**

I understand that I have \_\_\_\_\_  
\_\_\_\_\_  
*(Medical Diagnosis)*  
which makes me eligible to participate in this research study.

The purpose of this research study is \_\_\_\_\_.

**DURATION AND LOCATION:**

*(Describe the expected duration of the subject's participation in the study and the location of the project [e.g., Georgia Southwestern State University, Sumter Regional Hospital].)*

\_\_\_\_\_  
Subject Initials

My participation in this study will last for approximately \_\_\_\_\_.

The study will be conducted at \_\_\_\_\_.

**PROCEDURES:**

I have been told that during the course of this study, the following will occur:

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*The following procedures/devices are considered to be investigational:*

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**EXCLUSIONS**

*I should not participate in this study if any of the following apply to me:*

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**RISKS/DISCOMFORTS:**

I have been told that the study may involve the following risks and/or discomforts:

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There also may be risks and discomforts that are not yet known.

**BENEFITS:**

**OPTION #1**

I have been told that the direct benefits to me of participating in this study may be:

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\_\_\_\_\_  
Subject Initials

However, I may receive no benefit from participating in this study.

(OR)

**OPTION #2**

I have been told that I will receive no direct benefit from my participation in this study, but my participation may help health care practitioners/psychologists/business researchers/etc. better understand:

---

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**ALTERNATIVE PROCEDURES OR TREATMENTS:**

*The following alternative procedures or treatments are available if I choose not to participate in this study:*

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**NEW FINDINGS:**

I have been told that I will receive any new information during the course of the study concerning significant findings that may affect my willingness to continue my participation.

**CONFIDENTIALITY:**

Every effort will be made to maintain the confidentiality of my study records. The data from the study may be published; however, I will not be identified by name. My identity will remain confidential unless disclosure is required by law.

*Agents of Georgia Southwestern State University and/or any external agency (including any sponsoring agency) will be allowed to inspect sections of my medical and research records related to this study.*

*I have been informed that because this study involves articles regulated by the FDA (Food and Drug Administration), the FDA may choose to inspect records identifying me as a subject in this study. I authorize review of the pertinent sections of my records for this purpose only.*

\_\_\_\_\_  
Subject Initials

**COSTS TO THE SUBJECT:**

*I understand that if I am a patient at the VAMC, I may be subject to charges (co-payment) for which the VA will not pay.*

**COMPENSATION IN CASE OF INJURY:**

I understand that in the event of injury resulting from the research procedures, no form of compensation (i.e., payment) is available from Georgia Southwestern State University. Medical treatment may be provided at my own expense; or at the expense of my health care insurer (e.g., Medicare, Medicaid, BC/BS), which may or may not provide coverage. If I have questions, I should contact my insurer.

*In the event of emergency resulting from the research procedures, \_\_\_\_\_  
(sponsoring agency)  
will provide reimbursement for the reasonable costs of medical treatment to the extent that the costs are not covered by my insurance or by third party or government program providing coverage.*

**PAYMENTS TO PARTICIPANTS:**

I have been told that I will receive \_\_\_\_\_ for my participation in this study.

**RIGHT TO REFUSE OR WITHDRAW:**

I understand that I do not have to take part in this study, and my refusal to participate will involve no penalty or loss of rights to which I am entitled. I may withdraw from this study at any time without penalty or loss of any benefits to which I am entitled.

I also understand that the investigator has the right to withdraw me from the study at any time. I understand that my withdrawal from the study may be for reasons related to me (e.g., not following the study-related directions, a serious study-related injury) or because the entire study has been terminated.

I understand that \_\_\_\_\_ has the right to terminate the study or the  
(sponsoring agency)  
investigator's participation in the study at any time.

\_\_\_\_\_  
Subject Initials

**OFFER TO ANSWER QUESTIONS:**

If I have questions about this study, I may call \_\_\_\_\_ at \_\_\_\_\_.

If I have questions about my rights as a research subject, I may call \_\_\_\_\_ at \_\_\_\_\_.

If a research-related injury occurs, I will call \_\_\_\_\_ at \_\_\_\_\_.

**SIGNATURES:**

I understand my rights as a research subject and I voluntarily consent to participate in this study. I understand what the study is about and why it is being done. I will receive a signed copy of this consent form.

\_\_\_\_\_  
Signature of Research Subject  
(or legally authorized representative)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Investigator

\_\_\_\_\_  
Date

**APPENDIX B**

**SAMPLE SIGNATURE PAGE OF CONSENT FORM FOR RESEARCH INVOLVING CHILDREN**

You are making a decision whether or not to have your child participate in this study. Your signature indicates that you have decided to allow your child to participate, that you have read (or been read) the information provided above and that you have received a copy of this consent form.

\_\_\_\_\_  
Signature of Parent  
or Person Responsible

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Investigator

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Date

**Assent of Child**

\_\_\_\_\_ (name of child) has agreed to participate in

\_\_\_\_\_ (title of research project)

\_\_\_\_\_  
Signature of Parent

\_\_\_\_\_  
Date

**Waiver of Assent**

The assent of \_\_\_\_\_ (name of child) was waived because of

\_\_\_\_\_ Age

\_\_\_\_\_ Maturity

\_\_\_\_\_ Psychological state of the child

\_\_\_\_\_  
Signature of Parent

\_\_\_\_\_  
Date

## APPENDIX C

### IRB EXEMPTION APPLICATION

(Please type)

Title of Project \_\_\_\_\_

Principal Investigator \_\_\_\_\_ Phone \_\_\_\_\_

Investigator's Signature \_\_\_\_\_ Date \_\_\_\_\_

Campus Address \_\_\_\_\_

Source of Funds (State specific name of funding source):

Government Agency \_\_\_\_\_ Foundation \_\_\_\_\_

Corporation \_\_\_\_\_ Other \_\_\_\_\_

Mark the category or categories below that describe your research:

- 1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- 2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior. An exemption cannot be granted if: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; or (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
- 3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under category 2, if: (a) the human subjects are elected or appointed public officials or candidates for public office; or (b) one or more federal statutes require without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- 4. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified either directly or through identifiers linked to the subjects. Attach a specimens release form if applicable.
- 5. Research and demonstration projects which are conducted by or subject to the approval of department of agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.
- 6. Taste and food quality evaluation and consumer acceptance studies, if (a) wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Please give a brief description of your project to explain the exemption:

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## APPENDIX D

### IRB EXPEDITED REVIEW APPLICATION

(Please type)

Principal Investigator \_\_\_\_\_

Title of Project \_\_\_\_\_

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Please indicate by checking the appropriate space below the category or categories into which you believe your project falls:

- 1. Collection of hair and nail clippings in a non-disfiguring manner, deciduous teeth; and permanent teeth if patient care indicates a need for extraction.
- 2. Collection of excreta and external secretions including sweat, uncannulated saliva, placenta removed at delivery, and amniotic fluid at the time of rupture of the membrane prior to or during labor.
- 3. Recording of data from subjects 18 years of age or older using noninvasive procedures routinely employed in research or clinical practice. This includes the use of physical sensors that are applied either to the surface of the body or at a distance and do not involve input of matter or significant amounts of energy into the subject or an invasion of the subject's privacy. It also includes such procedures as weighing, testing sensory acuity, electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, diagnostic echography, and electroretinography. It does not include exposure to electromagnetic radiation outside the visible range for (for example x-rays, microwaves).
- 4. Collection of blood samples by venipuncture, in amounts not exceeding 450 milliliters in an eight-week period and no more often than two times per week, from subjects 18 years of age or older and who are in good health and not pregnant.
- 5. Collection of both supra- and subgingival dental plaque and calculus, provided the procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques.
- 6. Voice recordings made for research purposes such as investigations of speech defects or subject's responses to questioning.
- 7. Moderate exercise by healthy volunteers.
- 8. The study of existing data, documents, records, pathological specimens, or diagnostic specimens.
- 9. Research on individual or group behavior or characteristics of individuals, such as studies of perception, cognition, game theory, or test development, where the investigator does not manipulate subjects' behavior and the research will not involve stress to the subjects. Research involving sensitive matters such as sexual or political behavior may require full review. Expedited review is not appropriate if the subjects' responses, if known outside the research, could place them at risk of civil or criminal liability or damage their financial standing or employability.
- 10. Research on drugs or devices for which an investigational new drug exemption or an investigational device exemption is not required. NOTE: The Board may request full review if in their opinion the subject will be at greater than minimal risk.

\_\_\_\_\_  
Signature of Investigator                      Date

\_\_\_\_\_  
Department

\_\_\_\_\_  
Building

\_\_\_\_\_  
Room

\_\_\_\_\_  
Phone

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**This space for IRB use only.**

Reviewer's comments:

\_\_\_\_\_  
Signature of Reviewer

\_\_\_\_\_  
Date

**APPENDIX E**

**HUMAN SUBJECTS PROTOCOL FOR EXPEDITED REVIEW**

(Please type)

Title of Project \_\_\_\_\_  
\_\_\_\_\_

A. General Information

1. Investigator

a. Name of principal investigator \_\_\_\_\_

Signature of principal investigator \_\_\_\_\_

Date \_\_\_\_\_ Phone \_\_\_\_\_

Address \_\_\_\_\_

Qualifications of investigator \_\_\_\_\_  
\_\_\_\_\_

b. List the name, rank, and major departmental appointment of other investigators participating in this project, if any. Use additional sheets of paper if necessary.

NONE \_\_\_\_\_

OTHERS \_\_\_\_\_  
\_\_\_\_\_

c. If medical supervision is necessary, give the name of the physician who will be responsible for supervision.

\_\_\_\_\_ Phone \_\_\_\_\_

2. Type of proposal or activity: ( ) New ( ) Renewal

Date of last IRB approval \_\_\_\_\_

If this proposal is part of a grant, please indicate the following:

Name of grant: \_\_\_\_\_  
\_\_\_\_\_

Principal investigator of grant: \_\_\_\_\_

3. Source of funds: State specific name of funding source.

Governmental agency or agencies \_\_\_\_\_

Foundation(s) \_\_\_\_\_

Corporation(s) \_\_\_\_\_

Organization(s) \_\_\_\_\_

Individual(s) \_\_\_\_\_

None ( )

Internal ( )

**B. Number and Type of Subjects and Controls**

1. Number of subjects and controls \_\_\_\_\_  
\_\_\_\_\_

2. Type of subjects and controls \_\_\_\_\_  
\_\_\_\_\_

3. Populations from which derived \_\_\_\_\_  
\_\_\_\_\_

4. This study includes:

Prisoners _____	Fetuses _____	Abortuses _____
_____ Pregnant women	_____	
Minors under _____	People with mental illness _____	
14 years of age _____	People with mental retardation _____	
None of the above _____		

If any of the populations above are involved, attach a statement indicating the reasons for using these groups.

6. Other institutions: Will any of the subjects be from a Veterans' Administration Hospital?  
Yes\_\_\_ No\_\_\_

Will any of the subjects be from hospitals or other institutions?  
Yes\_\_\_ No\_\_\_

Name of institution(s) \_\_\_\_\_

**C. Location and Duration of Study**

Location of study \_\_\_\_\_

Probable duration of entire study \_\_\_\_\_

Total amount of time each subject will be involved \_\_\_\_\_

**D. Abstract of Research Plan**

1. Briefly describe the objectives and methodology of this project in lay language. Do not exceed the space provided.

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**APPENDIX F**

**HUMAN SUBJECTS PROTOCOL FOR FULL IRB REVIEW**

(Please type)

1. Type of Project: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Name of Principal Investigator: \_\_\_\_\_

Signature of Investigator: \_\_\_\_\_ Date \_\_\_\_\_

Address: \_\_\_\_\_ Phone \_\_\_\_\_

Qualifications of Investigator: \_\_\_\_\_  
\_\_\_\_\_

List the name, rank, and major departmental appointment of other investigators participating in this project, if any. Use a separate sheet of paper if necessary.

NONE \_\_\_\_\_ OTHERS \_\_\_\_\_  
\_\_\_\_\_

If medical supervision is necessary, give the name of the physician who will be responsible for the supervision: \_\_\_\_\_

Phone \_\_\_\_\_

3. If this study is part of a grant, please indicate the following:

Grant Title: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Principal Investigator of Grant: \_\_\_\_\_

4. Source of Funds: State specific name of funding source.

Governmental Agency or Agencies \_\_\_\_\_

Foundation(s) \_\_\_\_\_

Corporation(s) \_\_\_\_\_

Organization(s) \_\_\_\_\_  
Individual(s) \_\_\_\_\_

Other \_\_\_\_\_

None ( )

5. Location of Study:

Name of Institution \_\_\_\_\_

Type of Room \_\_\_\_\_

If the project is a field study, describe the community on the lines below. If the study is to be undertaken within a school, business, or other institution that does not have a review board, attach a statement of any contacts with the appropriate officials.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Drugs:

A. Is this study a phase I, II, III, or IV drug study? If yes, please indicate:

Phase I \_\_\_\_\_ Phase II \_\_\_\_\_  
Phase III \_\_\_\_\_ Phase IV \_\_\_\_\_

B. Does this project involve the use of an investigational new drug?

YES \_\_\_\_\_ NO \_\_\_\_\_

If yes, attach the Pharmacy Department Release Form and provide the name of the drug and the IND number:

Name of Drug \_\_\_\_\_

IND Number \_\_\_\_\_

Date of end of 30-Day Expiration or Waiver \_\_\_\_\_

If an investigational new drug is involved, but an IND number has not been issued, what are the plans of the Principal Investigator for securing an IND from the FDA? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

C. Does this project involve the use of any commercially available drugs? If yes, attach the Pharmacy Department Release Form and please provide the drug names:

_____	_____
_____	_____
_____	_____

7. Devices:

A. Does this project involve the use of an investigational new device?

YES \_\_\_\_\_ NO \_\_\_\_\_

If yes, provide the name of the device and the investigational device exemption (IDE) number:

Name of Device \_\_\_\_\_

IDE Number \_\_\_\_\_

For projects involving investigational new devices which are considered non-significant risk devices, attach a letter from the sponsor discussing the reasons for the classification.

8. Approvals:

A. Does this project involve the use of radioisotopes?

YES \_\_\_\_\_ NO \_\_\_\_\_

If yes, has the Isotope Committee given approval?

YES \_\_\_\_\_ NO \_\_\_\_\_

Attach documentation of Isotope Committee approval.

B. Does this project involve the use of biopsy or surgical material?

YES \_\_\_\_\_ NO \_\_\_\_\_

If yes, has the department providing the specimens given approval?

YES \_\_\_\_\_ NO \_\_\_\_\_

Attach documentation of departmental approval.

C. Have other review boards reviewed this project (including departmental review committees who authorize the uses of their patient populations)?

YES \_\_\_\_\_ NO \_\_\_\_\_

If yes, provide the name of the review board and the date of approval:

\_\_\_\_\_

If the study was rejected, give the reasons: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

9. Number and Type of Subjects and Controls:

A. Number of Subjects and Controls: \_\_\_\_\_

B. Type of Subjects and Controls: \_\_\_\_\_

C. Population from which derived: \_\_\_\_\_

\_\_\_\_\_

D. Indicate which of the following special populations will be involved in the Project:

Prisoners \_\_\_\_\_ Fetuses \_\_\_\_\_

Abortuses \_\_\_\_\_ Pregnant women \_\_\_\_\_

Minors under 14 years of age \_\_\_\_\_ People with mental illness \_\_\_\_\_

None of the above \_\_\_\_\_ People with mental retardation \_\_\_\_\_

If any special populations listed above are involved, state reasons for using the special populations: \_\_\_\_\_

\_\_\_\_\_

List any persons who will be at risk other than those directly involved in the study: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



E. Will any of the subjects be from a Veteran's Administration Hospital?

YES \_\_\_\_\_ NO \_\_\_\_\_

10. Duration of Study

A. Probable duration of entire study \_\_\_\_\_  
\_\_\_\_\_

B. Total amount of time each subject will be involved: \_\_\_\_\_  
\_\_\_\_\_

C. Duration of each phase in which the subject will be involved:  
\_\_\_\_\_  
\_\_\_\_\_

11. Purpose, Background, and Study Methodology: (items 11-14 should be discussed on separate sheets of paper).

A. Purpose of Project or Activity in LAY LANGUAGE.

B. Background: Describe past experimental and/or clinical findings leading to the formulation of this study. Include and past or current research by the principal Investigator.

C. Study Methodology:

1. Describe the study methodology that will affect the subjects, particularly in regard to any inconvenience, danger, or discomfort.
2. List the procedures, the length of time each will take, and the frequency of repetition.
3. Attach a copy of any interview or questionnaire that will be used.

12. Risks and Precautions

A. Possible Risks - Physical, Psychological, and Social:

1. Estimate their frequency, severity, and reversibility.
2. Describe any alternative treatments.
3. Describe any withholding of normal treatment.
4. What is the risk-benefit ratio?

B. Special Precautions:

1. Describe precautions that will be taken to avoid hazards and the means for monitoring to detect hazards.
2. State the point at which the experiment will be terminated if hazards materialize. Differentiate between the point for termination of the involvement of an individual subject and for the termination of the entire study.
3. Describe the method of screening potential subjects and controls, and the factors that will be the basis for excluding potential subjects from the study.
4. If an agent or therapy is being assessed, indicate the point at which the differences in outcomes between subjects and controls will be considered sufficiently significant to eliminate the need for

additional subjects, or to require modification of the disclosure made to continuing and prospective subjects because of greater information concerning relative risks.

5. State whether the potential subject will be, or will have been, in a stressful, painful, or drugged condition. If yes, describe the proposed precautions to overcome the effect of the condition on the consent process.
6. If the time period between informing the subject and soliciting a decision is less than twenty-four hours, describe the time sequence desired and the reasons why the twenty-four hour minimum would handicap the effective conduct of the study or would be disadvantageous to the subject.

13. Procedures to Maintain Confidentiality

- A. Will any information derived from this study be given to any person or group, including the subject? If yes, describe to whom the information will be given and the nature of the information.
- B. Describe the procedures for maintaining confidentiality.

14. Other Information

**APPENDIX G**

**INVESTIGATOR'S PROGRESS REPORT**

Principal Investigator: \_\_\_\_\_ Today's Date \_\_\_\_\_

Protocol Title: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

1. Briefly describe the purpose of the study (2-3 sentences).  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Starting Date of Project: \_\_\_\_\_  
Date of Last Approval by IRB \_\_\_\_\_

3. Subjects
- a. How many subjects\* have been screened for entry since the start of the project? \_\_\_\_\_
  - b. How many subjects\* have been entered into the study since the start of the project? \_\_\_\_\_
  - c. How many subjects\* have been entered into the project since the last IRB review? \_\_\_\_\_

\* For projects being conducted at multiple institutions, the numbers should be for subjects entered at Georgia Southwestern State University.

4. State any side effects or untoward events that have occurred:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Have you had any problems obtaining informed consent?  
\_\_\_\_\_  
\_\_\_\_\_

6. Modifications to Protocol

- a. Have you made modifications to the protocol which affect subject treatment?  
Yes \_\_\_\_\_ No \_\_\_\_\_  
If yes, have the changes been approved by the IRB? Yes \_\_\_\_\_ No \_\_\_\_\_

b. State any changes to the protocol you wish to request at this time:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

7. What preliminary findings or evaluations of the study have you received? State both the positive and negative results received at this time.

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Attach to this Progress Report a copy of your current consent form and a copy of a memo from your Project Review Panel addressing the following questions:

1. Has the Panel's assessment of the risk-benefit ratio of this project changed? If yes, please explain.
2. Does the Panel have any recommendations regarding the protocol or the consent form?

## **X. APPENDIX**

### **2014-2015**

- A. Fall 2014-Spring 2015 Calendars
- B. Faculty Meeting Dates
- C. Major/Advisor List for 2014-2015
- D. Regents System Academic Advisory Committee Representatives for 2013-2014
- E. Personnel Roster – 2014-2015
- F. University Statutes
- G. Academic Affairs Organizational Chart
- H. Graduate Assistant Evaluation Form
- I. Faculty Development Grant Proposal Form

**CALENDAR\*****Fall Term 2014**

<b>Fall Semester 2014</b>	
Tuition and Fee Payment Due Date	Monday, August 4, 2014
Southwestern Week - Faculty/Staff Planning	Monday, August 11-Friday, August 15, 2014
Move In Day	Saturday, August 16, 2014
Orientation and Registration	Tuesday, August 19, 2014
Classes Begin for Full Term Fall and Fall I	Wednesday, August 20, 2014
Drop/Add for Fall I	Wednesday, August 20, 2014
Add/Drop Classes	Wednesday, August 20-Tuesday, August 26, 2014
Drop for Non-payment at Noon. Students with Balances of \$500 or more will be Dropped from all Fall 2014 courses at Noon	Thursday, August 28, 2014
Labor Day (no classes)	Monday, September 1, 2014
Last Day to report class attendance and on-line participation for federal financial aid purposes for Fall and Fall I	Wednesday, September 3, 2014
Canes Card Refunds	Monday, September 15, 2014
Midterm Fall I	Monday, September 15, 2014
Midterm Grades Due for Fall I	Monday, September 15, 2014
Refund Checks will be Mailed to Your Mailing Address on File (Review your Mailing Address in RAIN)	Wednesday, September 17, 2014
Last Day to Withdraw Fall I	Friday, September 19, 2014
Last Day of Class for Fall I	Wednesday, October 8, 2014
Midterm for Fall Full Term	Wednesday, October 8, 2014
Midterm Grades Due for Fall Full Term	Wednesday, October 8, 2014
Fall Break (no classes)	Thursday, October 9 – Friday, October 10, 2014
Final Grades Due for Fall I	Monday, October 13, 2014
Classes Begin for Fall II	Monday, October 13, 2014
Drop/Add for Fall II	Monday, October 13, 2014
Last Day to report class attendance and on-line participation for federal financial aid purposes for Fall and Fall I	Monday, October 20, 2014
Priority Spring 2014 Registration for Graduating Seniors	Monday, October 20, 2014
Priority Spring 2014 Registration for Seniors	Wednesday, October 22, 2014
Priority Spring 2014 Registration for Juniors	Thursday, October 23, 2014
Priority Spring 2014 Registration for Sophomores	Friday, October 24, 2014
Last Day to Withdraw Without Academic Penalty for Fall Full Term	Friday, October 24, 2014
Priority Spring 2014 Registration for Freshman	Monday, October 27, 2014
Spring Registration for Returning Students (Not Currently Enrolled)	Thursday, October 30, 2014
Spring Registration for New Transfer Students	Thursday, October 30, 2014
Midterm Fall II	Wednesday, November 5, 2014
Midterm Grades Due for Fall II	Wednesday, November 5, 2014
Last Day to Withdraw from Fall II	Thursday, November 13, 2014
Thanksgiving Holidays (no classes)	Monday, November 24-Saturday, November 29, 2014

Spring Registration for Transient Students	Tuesday, December 2, 2014
Learning Support Registration	TBA
Last Day of Class for Fall Full Term and Fall II	Friday, December 5, 2014
Finals	December 6, 8-11, 2014
Senior Grades Due by Noon	Friday, December 12, 2014
Graduation	Saturday, December 13, 2012
Grades Due in RAIN by 8:00am	Monday December 15, 2014
* Correct at date of release; subject to change.	
<b>Spring Semester 2015</b>	
Advising and Schedule Changes	January 7-13, 2015
Residence Halls Open	Monday, January 12, 2015
Orientation and Registration	Tuesday, January 13, 2015
Classes Begin for Full Term Spring and Spring I	Wednesday, January 14, 2015
Drop/Add for Spring I	Wednesday, January 14, 2015
Drop/Add for Full Term Spring	Wednesday, January 14 – Wednesday, January 21, 2015
Martin Luther King Jr. Day (No Classes)	Monday, January 19, 2015
Last Day to report class attendance and on-line participation for federal financial aid purposes for Spring	Wednesday, January 28, 2015
Midterm Spring I	Monday, February 9, 2015
Midterm Grades Due for Spring I	Tuesday, February 10, 2015
Last Day to Withdraw Spring I	Monday, February 23, 2015
Last Day of Class for Spring I	Wednesday, March 4, 2015
Midterm for Spring Full Term	Wednesday, March 4, 2015
Midterm Grades Due for Spring Full Term	Thursday, March 5, 2015
Classes Begin for Spring II	Thursday, March 5, 2015
Drop/Add for Spring II	Thursday, March 5, 2015
Final Grades Due for Spring I	Thursday, March 6, 2015
Spring Break (no classes)	Monday, March 16 – Saturday, March 21, 2015
Priority Summer/Fall 2015 Registration for Graduating Seniors	TBA
Priority Summer/Fall 2015 Registration for Seniors	TBA
Priority Summer/Fall 2015 Registration for Juniors	TBA
Priority Summer/Fall 2015 Registration for Sophomores	TBA
Last Day to Withdraw Without Academic Penalty for Spring Full Term	Monday, March 30, 2015

Priority Summer/Fall 2015 Registration for Freshman	TBA
Registration for Returning Students (Not Currently Enrolled)	TBA
Registration for New Summer Transfer Students	TBA
Midterm Spring II	Thursday, April 21, 2015
Midterm Grades Due for Spring II	Friday, April 22, 2015
Last Day to Withdraw from Spring II	Friday April, 10, 2015
Registration for Summer Transient Students	TBA
Learning Support Registration	TBA
Last Day of Class for Spring Full Term and Spring II	Wednesday, April 29, 2015
Reading Days	Thursday, April 30 – Friday, May 1, 2015
Finals	May 2, 4-7, 2015
Senior Grades Due by Noon	Friday, May 08, 2015
Graduation	Saturday, May 09, 2015
Grades Due in RAIN by 8:00am	Monday, May 11, 2015
* Correct at date of release; subject to change.	

### FACULTY MEETING DATES

**2014-2015**

December 6, 2014	Friday, 10:00 A.M	Rosalynn Carter Health and Human Sciences Auditorium
May 1, 2015	Friday, 10:00 A.M.	Rosalynn Carter Health and Human Sciences Auditorium

**OTHER MEETINGS MAY BE HELD AS NEEDED  
DURING THE ACADEMIC YEAR**



**MAJOR/ADVISOR LIST 2014-2015**

Program / Code	College	Degree	Major(Fie Id of Study)	Description	Department	Education Advisor	Alpha Listing	Advisor
	02	888888	TBMA	Accelerated Graduate Students-when accepted into MBA, they move to MBAG major.	0011			C. Bishop
MAE	01	MAE	MAEC	Master of Arts in English/Critical Literacy	0005			P. Dahlgren
	02	MBA	MBAG	Master of Business Administration	0011			C. Bishop
MED-MECE	04	MEDEC	MECE	MEd-Early Childhood Education	0021			M. Lehman
MED-MGLA	04	MEDMGLA	MGLA	MEd-Middle Grades/Lang Arts	0022			M. Lehman
MED-MGMA	04	MEDMGM	MGMA	MEd-Middle Grades/Mathematics	0022			M. Lehman
	03	888888	TCSA	Accelerated Graduate Students-when accepted into MS, they move to CSMA major.	0016			A. Shah
MS-CSMA	03	MS	CSMA	Com Sci MS Accelerated	0016			A. Shah
MS-CSMS	03	MS	CSMS	Computer Science/Graduate	0016			A. Shah
BBA-PBUS	02	BBA	PBUS	Pre-Business (Includes transfers with less than 60 hours) School Of Business transfers having 61 or more hours should be placed in a specific major.Students with less than 2.25 transfer and/or overall GPA should be placed in PBUS	0013		A-H I-L O-S M, N & T-Z	G. Cheokas L. Willson R. Bennett M. Grimes
BBA-ACCT	02	BBA	ACCT	Accounting	0012		A-N O-Z	J. Warther S. Robinson
BBA-ACCG	02	BBA	ACCG	Accounting-Georgia Military	0012			S. Perry
BBA-ACCA	02	BBA	ACTD	Accounting-ABAC	0012			S. Perry
BBA-ACTB	02	BBA	ACTB	Accounting-Bainbridge	0012			S. Stewart

BBA-ACTD	02	BBA	ACTD	Accounting-Darton	0012			S. Perry
BBA-ACTE	02	BBA	ACTE	Accounting-East Georgia	0012			D. Gribbins
BBA-ACTM	02	BBA	ACTM	Accounting-Middle GA State College	0012			S. Perry
BBA-ACCO	02	BBA	ACCO	Accounting-Online	0012			C. Crews
BBA-ACTP	02	BBA	ACTP	Accounting-GA Perimeter	0012			L. McKinley
BBA-ACTS	02	BBA	ACTS	Accounting-S GA State Coll	0012			Kit Carson
BBA-HRMT	02	BBA	HRMT	Human Resource Management	0014			P. Langan
BBA-HRMA	02	BBA	HRMA	HR Management-ABAC	0014			S. Perry
BBA-HRMB	02	BBA	HRMB	HR Management-Bainbridge	0014			S. Stewart
BBA-HRMD	02	BBA	HRMD	HR Management-Darton	0014			S. Perry
BBA-HRME	02	BBA	HRME	HR Management-East GA	0014			D. Gribbins
BBA-HRMG	02	BBA	HRMG	HR Management-GA Military	0014			S. Perry
BBA-HRMM	02	BBA	HRMM	HR Management-Middle GA State College	0014			S. Perry
BBA-HRMO	02	BBA	HRMO	HR Management Online	0014			L. Wilson
BBA-HRMP	02	BBA	HRMP	HR Management-GA Perimeter	0014			L. McKinley
BBA-HRMS	02	BBA	HRMS	HR Management-South GA State College	0014			Kit Carson
BBA-MGMT	02	BBA	MGMT	Management	0014		A-C D-F G-L M-S T-Z	M. Fathi P. Szmedra B. Heshizer Y. Park M. Fathi
BBA-MGTA	02	BBA	MGTA	Management-ABAC	0014			S. Perry
BBA-MGTB	02	BBA	MGTB	Management-Bainbridge	0014			S. Stewart
BBA-MGTD	02	BBA	MGTD	Management-Darton	0014			S. Perry
BBA-MGTE	02	BBA	MGTE	Management-East Georgia	0014			D. Gribbins
BBA-MGTG	02	BBA	MGTG	Management-GA Military	0014			S. Perry

BBA-MGT M	02	BBA	MGTM	Management-Middle Georgia State College	0014			S. Perry
BBA-MGT O	02	BBA	MGTO	Management-Online	0014			S. Perry
BBA-MGTP	02	BBA	MGTP	Management-GA Perimeter	0014			L. McKinley
BBA-MGTS	02	BBA	MGTS	Management-South Georgia State College	0014			Kit Carson
BBA-MKTG	02	BBA	MKTG	Marketing	0015		A-M N-Z	C. Maldonado J. Stovall
BBA-MKGM	02	BBA	MKGM	Marketing-Georgia Military	0015			S. Perry
BBA-MKTA	02	BBA	MKTA	Marketing-ABAC	0015			S. Perry
BBA-MKTB	02	BBA	MKTB	Marketing-Bainbridge	0015			S. Stewart
BBA-MKTD	02	BBA	MKTD	Marketing-Darton	0015			S. Perry
BBA-MKTE	02	BBA	MKTE	Marketing-East Georgia	0015			D. Gribbins
BBA-MKT M	02	BBA	MKTM	Marketing-Middle Georgia	0015			S. Perry
BBA-MKTO	02	BBA	MKTO	Marketing Online	0015			S. Perry
BBA-MKTP	02	BBA	MKTP	Marketing-Georgia Perimeter	0015			L. McKinley
BBA-MKTS	02	BBA	MKTS	Marketing-South GA State College	0015			Kit Carson
BS-CSBS	03	BS	CSBS	Computer Science-Undergrad	0016		A-L M-Z	S.Baev B. Peltserger
BS-ITEC	03	BS	ITCB	Information Technology-Business Option	0017		A-L M-Z	K. Cook A. Yemelyanov
BS-ITEC	03	BS	ITCM	Information Technology-Multi Media Option	0017		A-L M-Z	K. Cook A. Yemelyanov
BS-WBIT	03	BS	WBIT	Information Technology-online	0017		A-L M-Z	K. Cook A. Yemelyanov
BSE-PEEC	04	BSEd	PEEC	Pre-Early Childhood	0021		A-H I-O P-Z	S.Venable C. Wu J. Dickens
BSE-PEMG	04	BSEd	PEMG	Pre-Middle Grades	0022	Advisor based on primary concentration area	Lang Arts Math Science Soc Scie	R. Short R. Short L. Larsen Q. Brown

BSE-PESP	04	BSEd	PESP	Pre-Special Education	0023		A-L M-Z	G. Bernstein K. Barnetson
BSE-PEHP	04	BSEd	PEHP	Pre-Health and P.E.	0025			R. Abbott
BA-PEET	01	BA	PEET	Pre-English w/Teacher Certification	0005	R. Short		E. Kuipers
BA-PMCT	01	BA	PMCT	Pre-Music w/Teacher Certification	0032	R. Abbott		J. Megginson
BS-PEHI	01	BS	PEHI	Pre-History w/Teacher Certification	0008	Q. Brown		G. Robins
BS-PEMT	03	BS	PEMT	Pre-Math w/Teacher Certification	0009	R. Short		K. Ghimire
BS-PEPS	01	BS	PEPS	Pre-Political Science w/Teacher Certification	0033	Q. Brown		G. Kline
BSE-EDEC	04	BSEd	EDEC	Early Childhood	0021		A-H I-O P-Z	S.Venable C. Wu J. Dickens
BSE-EDEA	04	BSEd	EDEA	Early Childhood-ABAC	0021			L. Larsen
BSE-EDMG	04	BSEd	EDMG	Middle Grades Education	0022		Lang Arts Math Science Soc Scie	R. Short R. Short L. Larsen Q. Brown
BSE-EDSP	04	BSEd	EDSP	Special Education-Gen Curri	0023		A-L M-Z	G. Bernstein K. Barnetson
BSE-EDHP	04	BSEd	EDHP	Health & PE Education	0025			R. Abbott
BSE-EDWE	04	BSEd	EDWE	Exercise Science/Wellness Education	0025		A-L M-Z	C. Casaru P. Pullen
BA-DART	01	BA	DART	Performance Emphasis	0006			J. Green
	01	BA	DACM	Communication & Media Arts Emphasis	0006			J. Green
	01	BA	DADT	Design & Technology Emphasis	0006			R. Mannila
BA-ARTS	01	BA	ARTS	Art	0006			L. Robinson
BFA-FIAR	01	BFA	FIAR	Art	0006			L. Robinson
BA-ENGL	01	BA	ENGL	English	0005		A-K L-Z	L. DiPaula E. Kuipers
BA-MUSC	01	BA	MUSC	Music	0032			J. Megginson
BA-	01	BA	MUTC	Music w/Teacher	0032	R. Abbott		J.

MUTC				Certification				Megginson
BA-ENTC	01	BA	ENTC	English w/Teacher Certification	0005	R. Short		E. Kuipers
BS-BIOL	01	BS	BIOL	Biology	0002		A-F G-L M-R S-Z	I. Brown S. Harvey B. Herrington T. Lorenz
BS-CHEM	01	BS	CHEM	Chemistry	0003			T. Iordanov E. Gurnack
BS-GEOL	01	BS	GEOL	Geology	0007		A-H I-Q R-Z	B. Carter T. Weiland S. Peavy
BS-MTAS	03	BS	MTAS	Mathematics w/Actuarial Science	0009			J. Stroyls
BS-MTCS	03	BS	MTCS	Mathematics w/Comp Sci & Engineering	0009			C. Gugg
BS-MTFE	03	BS	MTFE	Mathematics w/Financial Engineering	0009			C. Gugg
BS-MTHM	03	BS	MTHM	Mathematics	0009			D. Qi
BS-BIOL	01	BS	PPHE	Pre-Prof Health Services	0002			A. Tu
BS-BIOL	01	BS	PDEN	Biology/Pre-Dentistry	0002		A-M N-Z	T. Wright H. Tu
BS-BIOL	01	BS	PMED	Biology/Pre-Med	0002		A-M N-Z	T. Wright H. Tu
BS-CHEM	01	BS	PPHA	Chemistry/Pre-Pharmacy	0003			M. Smith
BS-BIOL	01	BS	PVET	Biology/Pre-Vet	0002		A-M N-Z	T. Wright H. Tu
BS-MATH	01	BS	ENGR	Engineering Dual Degree Program	0007			S. Kostov
BS-RETP	01	BS	RETP	Regents Engineering Tran Prog	0007			S. Kostov
BS-MTHC	03	BS	MTTC	Math/Teacher Certification	0009	R. Short		K. Ghimire
BS-PSTC	01	BS	PEPS	Political Science w/Teacher Certification	0033	Q. Brown		G. Kline
BSNC - PBSN	05	BSN	PBSN	Pre-Nursing for Students with ASN, Diploma, and RN not in nursing program. Students go from PBSN to BSNC.	0026		A-C D-G H-L M-R S-Z	B. Webb E. Elder M. Shepherd P. Hulsey T. Teasley

BSNC - BSNC	05	BSNC	BSNC	BSN students who already have an ASN or a diploma in nursing and have been accepted into the GSW Nursing program.	0026		A-C D-G H-L M-R S-Z	B. Webb E. Elder M. Shepherd P. Hulsey T. Teasley
BSN- PLPN	05	BSN	PLPN	Pre-Nursing for Students with LPN not in nursing program. Students go from PLPN to NLPN.	0026			S. Daniel
BSN- NLPN	05	BSN	NLPN	BSN Students who already have an LPN and have been accepted into the GSW Nursing Program.	0026			S. Daniel
BSN- PNUB	05	BSN	PNUB	Pre-Nursing-Students who have expressed an interest in Nursing BUT have not been accepted into the GSW Nursing program. Students go from PNUB to NUBS.	0026		A-B C-F G-J K-P Q-S T-Z	M. Ragsdale P. Bryant S. Daniel R. Gee J. Humphrey R. Slocumb
BSN- NUBS	05	BSN	NUBS	Nursing-Students who have been accepted into GSW Nursing program but have no nursing career experience.	0026		A-B C-F G-J K-P Q-S T-Z	M. Ragsdale P. Bryant S. Daniel R. Gee J. Humphrey R. Slocumb
BSN- PRNA	05	BSN	PRNA	Pre-Nursing Students who are waiting acceptance in the accelerated BSN program. Students go from PRNA to NURA.	0026		A-K L-Z	B. Simmons J. Roseth
BSN- NURA	05	BSN	NURA	Students accepted into the accelerated BSN program as non-nurse college graduates.	0026		A-KL-Z	B. Simmons J. Roseth
BA- HIST	01	BA	HIST	History	0008		A-F G-M N-S T-Z	S. Bragg B. Parkinson P. Martin G. Robins

BA-HITC	01	BA	HITC	History w/Teaching Certification	0008	Q. Brown	A-F G-M N-S T-Z	S. Bragg B. Parkinson P. Martin G. Robins
BS-POLI	01	BS	POLI	Political Science (Assign all Pre-Law to B. Smith)	0008		A-J K-P/PreLaw w Q-Z	G. Kline B. Smith J. Berggren
BS-PSYC	01	BS	PSYC	Psychology	0010		A-E F-J K-O P-T U-Z	E. Cotter G. Fisk C. Huffman J. Orton L. Worthy
BA-PSYC	01	BA	PSYA	Psychology	0010		A-E F-J K-O P-T U-Z	E. Cotter G. Fisk C. Huffman J. Orton L. Worthy
BS-SOCI	01	BS	SOCI	Sociology (New Advisees)	0010		A-H I-Q R-Z	J. Comeau J. MacLennan C. McDonald
	00	100000	POST	Post Baccalaureate-Graduate (Education)	0000			Y. McWhorter-Howard
	00	100000	POST	Post Baccalaureate-Graduate (Management)	0000			L. Wilson
	00	100000	POST	Post Baccalaureate-Graduate (Accounting)	0000			C. Bishop
	00	100000	POST	Post Baccalaureate-Graduate (Comp. Sci)	0000			A. Shah
	00	100000	POSU	Post Baccalaureate-Undergraduate	0000			Dean of School of Courses
	04	888888	GRTE	Transient-Graduate (Education)	0018			Y. McWhorter-Howard
	02	888888	GRTB	Transient-Graduate (Management)	0011			C. Bishop
	03	888888	GRTI	Transient-Graduate (Comp. Sci)	0016			A. Shah
	00	100000	PERS	Personal Development-Graduate	0000			Dean of School of Courses
	00	000000	GENE	General Education-	0000			T. Lawson

				Undeclared Majors				
	00	999999	TRAN	Transient-Undergraduate	0000			K. Smith
	00	000000	PERD	Personal Development-Undergraduate	0000			Dean of School of Courses
	00	000000	EAAD	Early Admissions/Joint Enrollment	0000			D. Jenkins
	00	000000	ELIP	ELI Part-Time	0000			J. Fox
	01	000000	DSNT	Learning Support-Non-Traditional	0004		A-M N-Z	E. Anderson L. Rogers
	01	000000	DEST	Learning Support-Limited Admissions	0004		A-M N-Z	E. Anderson L. Rogers
	00	000000	GRSP	GA Rotary Student Program	0000			H. Tate
CERO - CGVC	00	CERO	CGVC	Caregiving Specialist	0000			L. Easom
	00	CERO	ESLC	ESL Career Certification	0000			J. Fox
	01	CERO	EUSC	European Union Studies	0001			B. Smith
CERO -ITCC	03	CERO	ITCC	Information Tech Certificate	0017			A. Shah
CERO -ITCO	03	CERO	ITCO	Info Tech Certificate Online	0017			A. Shah
	02	CERO	PGMT	Professional Golf Mngt	0014			P. Pendergras s
	01	CERO	WMSC	Women's Studies	0010			E. Kuipers
CHI-NUHI	05	CHI	NUHI	Nursing Graduate Certificate in Healthcare Informatics	0026			
CNE-NUNE	05	CNE	NUNE	Nursing Graduate Certificate in Nurse Educator	0026			
CCS-CS	03	CCS	QISC	CS Certificate in Computer Info System	0016			A. Shah



## Regents Academic Advisory Committee Representatives for 2014-2015

### **COMMITTEE**

Academic Affairs

Arts and Sciences

Biological Sciences

Business Administration

Chemistry

Computer Disciplines

Criminal Justice

Educator Preparation

Educator Preparation

English

Fine and Applied Arts

Foreign Languages

Geological Sciences

Graduate Work

Health Professions

History

Learning Support

Libraries

Mathematical Subjects

Physical Education

Physics

Political Science

Psychology

Sociology

### **REPRESENTATIVE**

Dr. Brian U. Adler

Dr. Kelly McCoy

Dr. Stephanie Harvey

Dr. Liz Wilson

Dr. Elizabeth Gurnack

Dr. Boris V. Peltsverger

Dr. Courtney McDonald

Dr. Rachel Abbott

Dr. Kelly McCoy

Dr. Eugenia Bryan

Dr. Laurel J. Robinson

Dr. Eugenia Bryan

Dr. Samuel T. Peavy

Dr. Gregory M. Hawver

Dr. Sandra D. Daniel

Dr. Glenn M. Robins

Dr. Kelly McCoy

Ms. Ru Story-Huffman

Dr. John J. Stroyls

Dr. Gregory M. Hawver

Dr. Svilen D. Kostov

Dr. Glenn Robins

Dr. Chuck Huffman

Dr. Jamie MacLennen

# Georgia Southwestern State University

## PERSONNEL ROSTER 2014-2015

(Updated 01/26/2015)

### ADMINISTRATORS

Charles E. Patterson, Interim President  
Brian U. Adler, Vice President for Academic Affairs and Dean of Faculty  
W. Cody King, Vice President for Business and Finance  
Samuel T. Miller, Vice President for Student Affairs  
Gaye S. Hayes, Vice President for Enrollment Management  
Michael Leeder, Interim Director of Athletics  
Gena Wilson, Director, Human Resources and Affirmative Action Officer

### FACULTY

(Administrators who are Members of the Faculty)

Adler, Brian U., Vice President, Academic Affairs & Dean of the Faculty  
Cheokas, Gaynor G., Director, Center for Business and Economic Development  
Cooper, Lisa A., Director, Institutional Research  
\*Davis, Bryan P., Director, Institutional Effectiveness and Planning  
Easom, Leisa., Executive Director, Rosalynn Carter Institute  
Fox, John E., Director, International Student Programs  
Hayes, Gaye S., Vice President for Enrollment Management  
Leeder, Michael, Interim Director, Athletics  
Mannila, Raymond P., Theatre Technical Coordinator  
Miller, Samuel T., Vice President, Student Affairs  
Patterson, Charles E., Interim President  
Randall, Linda B., First Year Advocate and Director, Academic Resource Center  
Smith, Krista P., Registrar  
Tate, Helen, Associate Vice President for Academic Affairs

### FACULTY (Corps of Instruction)

### COLLEGE OF ARTS & SCIENCES

McCoy, Kelly, Dean

Vacant, Assistant Dean for Assessment, Curriculum and Special Projects

Department of Biology  
Brown, Ian M.  
Harvey, Stephanie G. Chair  
Herrington, Robert E.  
Lorenz, Tom  
Tu, Anh-Hue T.  
Wright, J. Thomas

*Department of Chemistry*  
Gurnack, M. Elizabeth Chair  
Iordanov, Tzvetelin D.  
Iordanova, Nedialka I.  
Smith, Michele L.

Department of Dramatic Arts

Green, Jeffrey P., **Chair**

Watson, Joseph

Department of English & Modern Languages

Bryan, Eugenia P., **Chair**

\*Dahlgren, Paul G.

Dave, Anish M.

\*DiPaula, Lauren

\*Ellington, Margaret A.

Ettensohn, Derek

Godoy, Olga

\*Kuipers, Elizabeth A.

Marley, Jason

Moir, Michael

Rogers, Lydia G.

Waldrop, Milton J.

Yeung, Alwen

Department of Geology & Physics

Carter, Burchard D.

Kostov, Svilen D.

Peavy, Samuel T., **Chair**,

Weiland, Thomas J.

Department of History & Political Science

Berggren, D. Jason

Bragg, Susan L.

Hall, Richard C.

Kline, W. Gary,

Martin, Paula J.

Parkinson, Brian R.

Robins, Glenn M. **Chair**

Smith, Brian G.

Department of Music

Laughlin, E. Mark

Megginson, Julie E., **Chair**

Swope, Richard L.

Yeung, Alwen

Department of Psychology & Sociology

Comeau, Joseph

Cotter, Ellen M.

Fisk, Gary D.,

Grissett, Judy O.

Huffman, Charles M. **Chair**

McDonald, Courtney D.

MacLennan, Jamie I.

Worthy, LaVerne G.

Department of Visual Arts

Hughes, Tonia I.

Robinson, Laurel J., **Chair**

Wells, Charles R.

Wynn, Keaton E.

**SCHOOL OF BUSINESS ADMINISTRATION**

\*Wilson, M. Elizabeth, **Dean**

Bennett, Robert

Bishop, Carol

\*Cheokas, Gaynor

Crews, Cori

\*Fathi, M. Michael

\*Grimes, Mark

\*Heshizer, Brian P.

Howell, Curtis C

Langan, Patrick

\*Park, Yangil

Pendergrass, Phil

\*Maldonado, Cecilia

Perry, Shannon A.

Robinson, Susan M.

\*Stovall, John S.

\*Szmedra, Philip I.

Warther, Joseph

Wang, Maggie

\*Xu, Feng

\*Graduate Faculty

## **SCHOOL OF COMPUTING AND MATHEMATICS**

\*Peltsverger, Boris V., **Dean**

### **Department of Computer Science**

Baev, Simon S.

Cook, Karen S.

\*Shah, Arvind C., **Chair**

\*Yemelyanov, Alexander M.

### **Department of Mathematics**

Anderson, Ervin D.

Boesten, Jan

Ghimire, Kailash C.

Gugg, Chadwick A.

Qi, Dongwen

\*Stroyls, John J., **Chair**

## **SCHOOL OF EDUCATION**

Abbott, Rachel, **Interim Dean**

Vacant, **Assessment Director**

Abbott, Rachel L.

Barnetson, Katherine O.

Bernstein, Gavin

Britsky, Kelly J.

\*Brown, Queen H.

Casaru, Catalina

Cribbs, Jason

Dickens, Jennifer

Hunter, David J.

Larsen, Lynn

\*Lehman, Margaret

McLain, Bryan S.

Pullen, Paula

\*Short, Rebecca G.

\*Venable, Sheryl F. **Programs Chair**

Ward, Christie L.

\*Wu, Chu Chu

## **JAMES EARL CARTER LIBRARY**

Story-Huffman, Mary L. **Dean**

Dalzell, Lee Ann

Davis, Charles

Story-Huffman, Mary L.

## **SCHOOL OF NURSING**

\*Daniel, Sandra D., **Dean**

Bryant, Paula

Dykes, Michelle

Elder, Ellen

Gee, Rebecca

Hulsey, Kirven P.

Humphrey, Joy

Ragsdale, Michele

Roseth, Jayme

Shepherd, Mary Ann

\*Simmons, Bonnie J. **Assessment**

**Director & Chair of Graduate Programs**

Slocumb, Rhonda

\*Teasley, Teresa P. **Chair of**

**Undergraduate Programs**

Webb, Mary E.

\*Graduate Faculty

## **ADMINISTRATIVE PERSONNEL**

Abbott, Rachel L., Interim Dean, School of Education  
Adler, Brian U., Vice President, Academic Affairs and Dean of Faculty  
Barry, Christy F., Director, Student Accounts  
Bragg, Darcy L., Assistant Dean of Students  
Bryant, Angela V., Director, Student Financial Aid  
Bryant, Oris W., Jr., Director, Public Safety  
Carroll, Beverly, Database Administrator  
Champion, Anna, Assistant Director, Fitness and Wellness  
Cheokas, Gaynor G., Director, Center for Business and Economic Development  
Comer, Kimberly H., Alumni Affairs Coordinator/Gifts Processor  
Cooper, Lisa A., Director, Institutional Research  
Curtin, Joshua, Director, Campus Life  
Daniel, Sandra D., Dean, School of Nursing  
Davis, Bryan P., Director, Institutional Effectiveness and Planning & SACS/COC Liaison  
Davis, Joann, Student Services Coordinator, School of Nursing  
DeBaise, Amber A., Director, Auxiliary Services  
Easom, Leisa, Executive Director, Rosalynn Carter Institute  
Faircloth, Timothy P., Systems Administrator  
Fowler, Sandra, Director, Career Services Center  
Fox, John E., Director, International Student Programs  
Guest, Trina F., Supervisor, Postal Services  
Hackett, W. Royce, Director, Information and Instructional Technology  
Hall, Jeff, Comptroller, Business and Finance  
Hayes, Gaye S., Vice President, Enrollment Management  
Hobbs, Angela, Director, Intramural and Recreational Sports  
Holloway, Karen D., Director, Alumni Affairs  
Jenkins, David C., Assistant Director, Admissions  
Johnson, Kershawnda, Retention Specialist  
Johnson, Sandra S., Assistant Director, Financial Aid Office  
Keita, Alma G., Director, Counseling Services  
King, W. Cody, Vice President, Business and Finance  
Lawson, Talisha, Retention Specialist and General Education Advisor  
Leeder, Michael, Director, Athletics  
Mannila, Raymond P., Theatre Technical Coordinator  
McCoy, Kelly, Dean, Arts and Sciences  
McKie, Michele, Clinical Director, School of Education  
Miller, Samuel T., Vice President, Student Affairs  
Oliver, Evelyn, Director of Disability Services and Testing  
Oliver, Lois R., Assistant Registrar  
Patterson, Charles E., Interim President  
Peltsverger, Boris V., Dean, School of Computing and Mathematics  
Pendergrass, Phil, Director, PGM Program  
Perry, Shannon A., Director, External BBA Degree Program  
Randall, Linda, First Year Advocate and Director, Academic Resource Center (ARC)  
Roberts, Mark, Director, Student Support Services  
Slaton, Hugh, Director, Physical Plant  
Smith, Krista P., Registrar  
Speir, Sarah, Director, International Programs  
Statham, Annie, Director, Student Health  
Snyder, Stephen E., Public Relations Director/Development Officer  
Story-Huffman, Ru, Dean, James Earl Carter Library  
Tate, Helen, Associate Vice President of Academic Affairs  
Thomas, Miranda B., Assistant Director, Student Support Services

Underwood, Michelle, Director, Procurement  
Wade, Rita, Academic Resource Coordinator  
Wicker, Jason, Director, Residence Life  
Wilson, Gena, Human Resources Director & Affirmative Action Officer  
Wilson, Mary E., Dean, School of Business Administration

**APPENDIX** (At the time this PDF was created, many parts of the appendix were being updated, such as the faculty committee rosters, therefore only the sections of the appendix cited in the SACSCOC Compliance Certification document have been included.)

### **Student Complaint Procedures for Academic Issues**

An academic complaint is defined as a problem with a course that is related to a student's program of study. Grounds for Academic Complaints include:

1. The grade for an assignment or for a course was recorded incorrectly.
2. The faculty member did not provide clear criteria upon which a grade would be evaluated.
3. The assignment of a final grade lower than that earned by another student enrolled in the same class whose recorded academic performance (all grades for course requirements and assignments) was the exactly the same as the student receiving the lower grade.
4. The assignment of a final grade in a course by a faculty member based upon performance measure(s) other than the criteria provided by the faculty member on the course syllabus for calculating the final grade in that course.
5. The number of absences recorded by the faculty member was incorrect, and based upon the number of recorded absences the student received a failing grade as stipulated in the course syllabus.
6. A student believes that he or she received a prejudiced academic evaluation for expressing a reasoned opinion or idea different from that of the instructor.

#### **A. INFORMAL PROCEDURE**

A student who has a complaint is first expected to try resolving the complaint informally. The student should discuss his or her problem with the faculty member involved and try to reach a mutually agreeable solution within the first thirty (30) days, excluding weekends, university holidays, and break periods after the problem occurred. If the student is not comfortable talking with the faculty member involved, the student may skip to the Mediation Process or the Formal Procedure as described below. Complaints submitted more than forty (40) days, excluding weekends, university holidays, and break periods after the problem occurred will not be considered. Upon notification of a complaint by the student, the faculty member must meet with the student to discuss the complaint within ten (10) days, excluding weekends, university holidays, and break periods. Should the grievance not be mutually resolved, the student will have the option to seek mediation (Step 2 below) or advance to the formal procedure (Step 3 below) within ten (10) days, excluding weekends, university holidays, and break periods. A complaint resolved through the Informal Procedure is not considered an official written complaint for the purpose of federal complaint tracking requirements.

Should the student elect to advance to the Formal Procedure, she or he will waive the option to seek Mediation at a later date.

#### **B. MEDIATION (OPTIONAL )**

1. If all reasonable informal efforts to resolve the complaint fail, the student is encouraged, but not required to choose the mediation process. Mediation is an informal process that involves a neutral third party who will assist in resolving the problem. The objective of this process is to come to an agreement that is fair and meets the needs of the parties involved. This process is confidential and private. Mediation does not waive the rights of any aggrieved party to seek resolution of his or her grievance through GSW complaint procedure.
2. Steps for Mediation:
  - a. The student chooses one mediator from a list of certified mediators available from Director of Human Resources. Both parties must be agreeable to mediating the complaint.
  - b. The mediator will set up a time for the student and faculty member to meet. This meeting will take place within ten (10) days after the mediator is chosen, excluding weekends, university holidays, and break periods.
  - c. At the time of the meeting, the mediator will assist the two parties in finding a mutually agreeable and fair solution to the conflict. The mediator may offer suggestions, but cannot impose a solution.
  - d. If the student is not satisfied with the outcome of mediation, he or she can file a complaint through the Formal Procedure.
  - e. Both parties involved in the complaint would sign the statement acknowledging their understanding of

what processes occurred during Step 2.

f. The mediator has the option to request written materials from all parties involved in the grievance for the purpose of clarifying the issue(s).

A complaint resolved through Mediation is not considered an official written complaint for the purpose of federal complaint tracking requirements.

### C. FORMAL PROCEDURE

1. A formal grievance must be filed within ten (10) days from the time of the conclusion of the Informal Procedure, if Mediation is not pursued, or the conclusion of Mediation, excluding weekends, university holidays, and break periods. Waiver of time limits (or extension) may be approved by mutual consent of the student and faculty member involved.

2. The student must submit a formal letter of complaint in hard copy to the appropriate Department Chair. Formal written complaints must be submitted in hard copy, and delivered by hand, by campus mail, or by US Mail. Students in online programs may submit formal written complaints in hard copy by US Mail or by fax. A waiver of time limits may be approved by mutual consent of the student and the faculty or staff member involved. For the purposes of this procedure, an e-mail message is not considered a formal letter of complaint. The formal letter of complaint should include a return address to which the chair will direct her of his written decision. In academic units that do not have department chairs, a student begins the formal process by submitting a formal letter of complaint in hard copy to the dean of the appropriate school.

3. The Department Chair will investigate the complaint and may interview the student for clarification. After the investigation, he or she may either grant or deny the redress sought, or provide alternate remedies. The written decision of the Department Chair will be issued no later than ten (10) days following receipt of the formal letter of complaint, excluding weekends, university holidays, and break periods.

4. If the Department Chair's decision is not satisfactory to the student, the student has ten (10) days, excluding weekends, university holidays, and break periods to appeal the decision by submitting a formal letter of complaint in hardcopy to the dean of the appropriate school. The formal letter of complaint should include a return address to which the dean will direct her of his written decision. Upon receipt of the formal letter of complaint, the Dean will review the facts of the complaint and may conduct further inquiry. The Dean has ten (10) days, , excluding weekends, university holidays, and break periods after receipt of the formal letter of complaint to notify the student of his or her decision in writing.

5. If the Dean does not render a decision satisfactory to the student, the student may file a formal letter of complaint to the Vice President for Academic Affairs (VPAA) within ten (10) days of the Dean's decision, excluding weekends, university holidays, and break periods. The formal letter of complaint should include a return address to which the VPAA will direct her of his written decision. The VPAA will review the facts of the complaint and may conduct a further inquiry. The VPAA has ten (10) days, excluding weekends, university holidays, and break periods after receipt of the formal letter of complaint to notify the student in writing of his or her decision.

6. If the VPAA does not render a decision satisfactory to the student, the student may submit a formal letter of complaint in hard copy to the President of the University within ten (10) days of the VPAA's decision, excluding weekends, university holidays, and break periods. The formal letter of complaint should include a return address to which the President will direct her of his written decision.

7. The President, upon receipt of the formal appeal, will submit the complaint to the Committee on Academic Grievance within ten (10) days, excluding weekends, university holidays, and break periods for consideration.

8. The following rules will apply:

a. The committee shall hear the case and forward its recommendations to the President.

b. The hearing will be conducted by the Committee on Academic Grievance in an informal and expeditious manner.

c. The Committee will be provided with all prior relevant documents from both sides and may request additional information or seek further witnesses.

d. Only committee members, parties to the action and their advisors (drawn from among the student, faculty, and staff of the University) and witnesses testifying before the Committee shall be permitted in the hearing.

e. At the hearing, the complainant, the faculty member, and witnesses for each party may testify, and may be questioned by committee members and the student's advisor.



- f. The Committee is empowered to rule on procedural matters and relevance of witnesses or evidence.
  - g. All hearings will begin within ten (10) days from the time the Committee receives the complaint from the President, excluding weekends, university holidays, and break periods.
  - h. A tape recording or other record of the hearing shall be preserved for reference and review until the case has been finally resolved.
9. The Committee shall arrive at a decision after all evidence has been heard and the parties have been dismissed. Only committee members who have been present for the entire hearing may vote on the case.
10. A majority vote of qualified members shall constitute a judgment.
11. Upon receipt of the Committee's recommendations, the President of the University shall render a final decision within ten (10) class days, excluding weekends, university holidays, and break periods, and may amend a recommendation according to his or her best judgment.
12. If the student receives an unfavorable decision from the President of the university, she or he may submit an appeal to the Board of Regents. See Board of Regents Policy 4.7:  
<http://www.usg.edu/policymanual/section4/policy/C333>.

# UNIVERSITY STATUTES

## ARTICLE I

### The University

#### **Section 1. Board of Regents of the University System of Georgia**

The governing body of the University is the Board of Regents of the University System, a constitutional state board. The Board governs, controls, and manages all of the State's institutions of higher education. The Chancellor is the chief administrative officer of the Board. Policies of the Board are assembled from the laws of the State of Georgia, By-Laws of the Board, and actions of the Board in official meetings.

The University Statutes of the University are set forth within the framework of the official policies of the Board of Regents. In the event of conflict between the University Statutes and the Policies of the Board, the latter have precedence.

#### **Section 2. Purpose**

Georgia Southwestern State University provides a broad range of educational opportunities for students of diverse educational, economic, and cultural backgrounds. The University provides leadership in Southwestern Georgia through programs which address educational, cultural, economic and human development needs.

Georgia Southwestern State University has a distinctive role for the provision of quality education in a traditional college environment. The curricula of Georgia Southwestern State University are characterized by comprehensive offerings at the baccalaureate level, and graduate programs in areas where the University has demonstrated competence and for which the demand is high. The University has a discipline-oriented research mission, primarily for the enhancement of instructional effectiveness. The University also assumes roles in providing public services, developing continuing education, and promoting international relations to meet the needs of its public.

Georgia Southwestern State University encourages life long learning and an examination of societal needs which may be addressed in an academic setting and which will lead to effective citizenship. The University promotes the development of character through intellectual inquiry and examination of personal and professional values.

## ARTICLE II

### Administrative Organization

#### **Section 1. Introductory Statement**

The organization of the University contributes to the attainment of its purposes. The administrative organization is described below.

#### **Section 2. The President**

**Appointment.** The President shall be elected to a one year term of office by the Board of Regents upon the recommendation of the Chancellor. The President shall hold office at the pleasure of the Board.

**Powers and Duties.** The President is the executive head of the University and of all its divisions and departments, exercises such supervision and direction as will promote the efficient operation of the University, and is responsible to the Chancellor of the University System for the operation and management of the University and for the execution of all directives of the Board of Regents and the Chancellor. The President shall:

<sup>1</sup>Be the ex-officio chair of the faculty and preside at meetings of the faculty, serve as an ex-officio member of the Faculty Senate,

Be the official medium of communication between the faculty and the Chancellor, and between the Faculty Senate and the Chancellor,

Recommend annually to the Board of Regents, through the Chancellor, the appointment of academic deans and department chairs, members of the faculty, and other employees, the salary of each, and all promotions and removals,

Have the right to veto all actions of the faculty, the Faculty Senate, and any committees dealing with the faculty or students, and when the President exercises the veto power, shall give to the group concerned a written statement of the reasons for the veto.

The President shall have such other and further powers, duties, and responsibilities as set forth in the Policies of the Board of Regents.

<sup>1</sup> Approved by GSW Faculty 11/30/2007 and BOR 06/11/08

### **Section 3. Administrative Officers**

**Appointment.** Administrative officers are appointed by the President with the approval of the Chancellor and the Board of Regents and shall hold office at the pleasure of the President. An administrative officer has no right to tenure in the administrative office held. If he or she holds academic rank and rights of tenure in the corps of instruction, he or she shall retain academic rank and rights of tenure as an ex-officio member of the corps of instruction. In addition to the duties set forth below, each of these administrative officers shall perform such other duties as the President may assign.

**1. Vice President for Academic Affairs and Dean of the Faculty.** The Vice President for Academic Affairs and Dean of the Faculty shall be an ex-officio member of the University Faculty and is responsible for the instructional program of the University and certain support services such as the library and records, and shall:

Supervise the recruitment and assignment of faculty personnel,

Recommend leadership personnel in the academic areas to the President,

Be responsible for the daily administration of academic affairs, both for faculty and for students, and

Serve as the chief administrative officer in the absence of the President.

**2. Vice President for Business and Finance.** The Vice President for Business and Finance shall be an ex-officio member of the faculty and shall be charged with the business administration of the University, have custody and control of all funds and securities, establish and maintain uniform and effective procedures of accounting, budgetary control, internal checks and audits, inventory control and business practices; assist the President in the preparation of the budget, and control the budget

operation, and shall:

Keep proper books of accounts, fully setting forth the financial condition and transactions of the University and shall exercise general supervision over all accounts of officers which have to do with the receipt and disbursements of funds and while holding them accountable shall see that no money shall be drawn from its treasury to pay such accounts, claims, or demands, unless they are found to be correct and unless there shall be money in the treasury legally available for the payment thereof,

Serve as financial and administrative advisor to the President and other administrators and prepare and publish annual reports on the financial operations of the University.

Give Bond satisfactory to the Board of Regents, at the expense of the University, to assure the faithful performance of duties.

**3. Vice President for Student Affairs.** The Vice President for Student Affairs is responsible for programs related to Student Counseling and Judiciaries, Student Activities, Residence Hall and Greek Life, Student Center Programs, Financial Aid, and Student Health Services, and is responsible for the daily administration of these programs and the general welfare of the students.

**4. Vice President for Enrollment Management.** The Vice President for Enrollment Management is responsible for all areas involving Admissions Policies, Procedures, and Practices for the university, Scholarships, and the Office of the Registrar.

**5. Director of Human Resources.** The Director of Human Resources is responsible for all areas related to EEOC practices, mediation services, training, hiring, and diversity issues.

**6. Director of Athletics.** The Director of Athletics is responsible for the organization and administration of the intercollegiate athletic programs, including personnel assignment, budgeting, scheduling athletic contests and facilities, recruitment of athletics, and maintenance of the overall quality of athletic programs.

**7. Director of University Relations.** The Director of University Relations is responsible for the Office of Public Relations, general public relations functions, and the university website.

## ARTICLE III

### The Faculty

#### **Section 1. Faculty Membership**

The faculty will consist of the corps of instruction and the administrative officers.

**Corps of Instruction.** Full-time professors, associate professors, assistant professors, lecturers, and senior lecturers, and teaching personnel with such other titles as may be approved by the Board of Regents, shall comprise the corps of instruction. Full-time researchers, extension personnel, and duly certified librarians are included in the corps of instruction on the basis of comparable training.

**Administrative Officers.** In addition to the corps of instruction, the Faculty consists of the President, the Vice Presidents, Deans, Associate Deans, and the Registrar. A faculty member who has academic rank and rights of tenure in the corps of instruction and who accepts appointment to an administrative office shall retain his or her academic rank and rights of tenure as an ex-officio member of the corps of instruction but shall have no rights of tenure in the administrative office to which he or she has been appointed. An administrative officer having faculty status shall have all the responsibilities and

privileges of faculty membership.

## **Section 2. Qualification for Faculty Appointment**

### **Minimum**

1. Master's degree. Exceptions may be made for:
  - a. persons of special learning and ability;
  - b. promising individuals who have recently acquired the bachelor's degree and are proceeding with their graduate training;
  - c. temporary emergency appointments. However, in keeping with SACS guidelines, all exceptions must possess a minimum of 18 graduate hours in the area in which they are teaching.
2. Evidence of ability as a teacher.
3. Evidence of scholarly competence and activity.
4. Successful experience (This must necessarily be waived in case of beginners otherwise qualified).
5. Desirable personal qualities judged on the basis of personal interview, complete biographical data and recommendations.

In addition to the minimum criteria listed above, initial appointees to associate or full professorships shall have a doctor's degree or its equivalent in training, ability, or experience as determined by the President.

## **Section 3. Faculty Evaluation**

The University maintains a continuing evaluation of its faculty. The evaluation criteria and procedure are stated in the Faculty Handbook and are in compliance with Regent's Policies. Performance of each faculty member is evaluated according to Policies, and evaluation occurs at least once annually. The evaluation program is the foundation upon which recommendations for promotions, recommendations for dismissals, tenure, salary increases, and other tangible or intangible rewards are based.

## **Section 4. Criteria for Promotion**

Minimum criteria in all professional ranks are:

1. Teaching;
2. Service to the institution;
3. Scholarship.

Noteworthy achievement in all three of the above need not be demanded, but is expected in the teaching area and at least one other area. A written recommendation should be submitted by the dean of the school and, where appropriate, the chair of the department setting forth the reasons for promotion.

4. Length of service in the University shall also be a consideration in promotions.

In addition to the minimum criteria listed above, promotion to associate for full professor requires the doctorate or its equivalent in training, ability, or experience. Neither possession of the doctorate nor longevity of service is a guarantee per se of promotion.

Institutional procedures and specific criteria for promotion, compatible with Board of Regents' Policy, are described in the Faculty Handbook.

### **Section 5. Tenure**

The current policies related to faculty tenure as adopted by the Board of Regents are incorporated into these Statutes by this reference and are described in the *Faculty Handbook*.

### **Section 6. Employment, Resignation, or Removal of Faculty Members**

1. **Employment.** The current policies related to faculty employment and resignation as adopted by the Board of Regents are incorporated into these Statutes by this reference.
2. **Removal of Faculty Member.** The President of the University may at any time remove any faculty member or other employee of the institution for cause. The cause or grounds for dismissal adopted by the Board of Regents are incorporated into these Statutes by reference.
3. **Procedures for the Removal of Faculty Members.** The current policies stating the procedures for the removal of faculty members adopted by the Board of Regents are incorporated into these Statutes by this reference.

### **Section 7. Disruptive Behavior**

Policy of the Board of Regents prohibits disruptive behavior in any institution in the University System and is hereby incorporated into these Statutes by this reference.

Any student, faculty member, administrator, or employee acting individually or in concert with others, who clearly obstructs or disrupts any teaching, research, administrative, disciplinary or public service activity, or any other activity authorized to be discharged or held on any campus of the University System is considered by the Board to have committed an act of gross irresponsibility and shall be subject to disciplinary procedures, possibly resulting in dismissal or termination of employment.

### **Section 8. Academic Freedom**

The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his or her other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

The teacher is entitled to freedom in the classroom in discussing the subject, but he or she should be careful not to introduce into the teachings controversial matter which has no relation to the subject.

The university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When speaking or writing as a citizen, he or she should be free from institutional censorship or discipline, but the university teacher's special position in the community imposes obligations. As a person of learning and an educational officer, he or she should remember that the public may judge the profession and the institution by his or her utterances. Hence, the university teacher should at all times be accurate, should exercise appropriate restraints, and should make every effort to indicate that he or she is not an institutional spokesperson.

A faculty member who believes he or she has been deprived of academic freedom by any member of the faculty or administration and has exhausted all informal means of resolving the difficulty

may, in writing, file a grievance as provided in Article III, Section 9.

### **Section 9. Grievance Committee and Procedures**

There shall be a Grievance Committee to which all members of the faculty shall have access. The Grievance Committee shall have the authority to conduct inquiries into faculty grievances, to attempt the resolution of those grievances by mediation, and to present to the President its recommendations for appropriate responses to the grievances it has considered.

Grievances involving promotion, salary, nonrenewal of contracts, or denial of tenure shall be appropriate for the consideration of the Grievance Committee only if the alleged discrimination is on the basis of sex, race, color, creed, religion, national origin, disability or age.

The composition of the Grievance Committee and its operating procedures shall be developed by the Faculty Senate and approved by the Faculty of the University and the President.

### **Section 10. Appeals**

A faculty member who is aggrieved by a final decision of the President on a faculty grievance or a decision on promotion, salary, nonrenewal of contracts, or denial of tenure may apply to the Board of Regents, without prejudice to his or her position, for a review of the decision in accordance with Article IX of the By-Laws of the Board of Regents.

### **Section 11. Faculty Meetings**

The faculty shall meet at least once each semester and at such other times as may be necessary or desirable as determined by the President. The faculty shall appoint a secretary who shall record the minutes of the meeting. A copy of the minutes of each faculty meetings shall be sent within three days after the meeting to the President who shall keep the minutes on file at this office. A copy of the minutes shall also be sent to the University Library for archival purposes.

A majority of the members of the faculty shall constitute a quorum of the University faculty.

## **ARTICLE IV**

### **Faculty Organization**

#### **Section 1. Introductory Statement**

To serve its recognized purposes, the University faculty elects the Faculty Senate and uses a committee system as follows: Academic Affairs, Academic Grievances, Athletics, Business and Finance, Faculty Affairs, the Graduate Council, Institutional Research, Institutional Review Board, Instructional Technology, Scholarships and Financial Aid, Student Affairs, Institutional Effectiveness, and University and Alumni Relations.

#### **Section 2. The Faculty Senate**

**Purpose.** <sup>1</sup>The purpose of the Faculty Senate shall be to constitute a body representative of the faculty, to advise the University on matters relative to the life of the University, and to facilitate the work of the faculty. It shall be representative of the faculty and may act on behalf of the faculty in specific areas when so authorized by the faculty. The Senate will serve as the Standing Faculty Committee on Committees and make recommendations on committee appointments to the President.

**Officers.** <sup>2</sup>A member of the Faculty Senate shall preside as the President of the Senate. The President and the Recording Secretary of the Senate will be elected annually by a quorum of members of the

Faculty Senate by the end of the Spring Semester to serve for the following academic year. The President of the University and the Vice President of Academic Affairs will serve as ex-officio members of the Faculty Senate.

**Senate Membership.** Any full-time member of the corps of instruction holding academic rank shall be eligible for election to the Faculty Senate. The President and the Vice President for Academic Affairs shall be full voting members of the Faculty Senate. There will be fourteen members elected by the faculty of each academic unit and the Faculty of the Library. The number to be elected by each unit is as follows: Arts and Sciences, seven senators; Business Administration, two senators; Computer and Information Sciences, one senator; Education, two senators; Library, one senator; and Nursing, one senator.

**Term of Office.** The term of office of an elected member will be two years. An elected member may succeed himself or herself for one term. Upon completion of the second term, he/she must wait two years to be eligible for reelection. The terms of senators shall be ordered so that no more than one half of the terms shall expire on any one year.

<sup>1</sup> Approved by GSW Faculty 11/30/07 and BOR 6/11/08

<sup>2</sup> Approved by GSW Faculty 11/30/07 and BOR 6/11/08

### **Section 3. The Committees**

The President shall appoint the members of the Standing Committees after considering the recommendations of the Faculty Senate, and committee members shall elect a chair. A committee shall normally have no more than fourteen faculty members in addition to students and ex-office members. The membership of committees shall reflect the senate representative groups as closely as possible. The Standing Committees shall report to the faculty in an advisory capacity.

To ensure continuity and stability of committees, members will be appointed for at least a two-year term. Chairs should be chosen from faculty members who have previously served on the committee.

### **Section 4. Function and Composition of the Standing Committees**

**Committee on Academic Affairs.** Committee on Academic Affairs. The committee approves substantive change to curriculum, reviews and advises on academic policies, reviews general education assessment reports, and oversees academic advising. The Vice President for Academic Affairs, the Associate Vice President for Academic Affairs, the University Registrar, and the Assistant Athletic Director for Compliance are ex-officio members of this committee. The Assistant Athletic Director for Compliance is a non-voting member of the committee. The committee shall:

- Approve all substantive changes to the curriculum, including addition, revision and deletion of courses, and addition, revision, and deletion of academic programs.
- Periodically review the institution's academic policies, and make recommendations for changes to the administration, as well as making recommendations to the faculty on the addition, revision, and deletion of academic policies.
- Review General Education Assessment Reports annually, and make recommendations for improvement, when appropriate.
- Assess and make recommendations for improving the institution's academic advisement.

This committee has three standing subcommittees: academic policies, general education assessment review, and academic advisement. The Assistant Athletic Director for Compliance is a standing member of the academic advisement subcommittee.

**<sup>1</sup>Institutional Effectiveness Committee.** The Institutional Effectiveness Committee (IEC) coordinates with the Faculty Senate to establish and assess institutional priorities for strategic planning and budgeting. The IEC is organized into two standing subcommittees on Strategic Planning and Assessment, and Academic and Support Unit Assessment. The subcommittees review data and make



recommendations on these issues to the entire IEC. In addition, the IEC may form Task Forces designed to complete specific tasks within a limited time frame. The IEC is made up of 19 members representing all areas of the university as follows:

- Representative appointed by Director of Athletics
- Representative appointed by the Vice President for Business and Finance
- Representative appointed by the Vice President for Enrollment Management
- Representative appointed by the Vice President for Student Affairs
- Student Representative appointed by the Office of Student Affairs
- Student Representative appointed by the Student Government Association
- Representative appointed by the Staff Senate
- Two Representatives from the College of Arts and Sciences appointed by Faculty Senate
- Representative from the School of Computing and Mathematics appointed by Faculty Senate
- Representative from the School of Business appointed by Faculty Senate
- Representative from the School of Education appointed by Faculty Senate
- Representative from the School of Nursing appointed by Faculty Senate
- Representative from the Library appointed by Faculty Senate
- Representative from Graduate Programs appointed by Faculty Senate
- Representative appointed by Director of the Rosalynn Carter Institute
- Vice President for Academic Affairs, ex officio
- Director of Institutional Research, ex officio
- Director of Institutional Effectiveness and Planning, ex officio

Representatives serve for a term of three years, with the exception of student appointments which last one year. One third of the representatives, again excepting students, rotate off every year, although serving multiple consecutive terms is not prohibited. The entire IEC must meet at least three times annually, but may meet more often when conditions warrant. The meeting schedules of the IEC's subcommittees and task forces are determined by the subcommittees and task forces.

**Institutional Review Board.** This standing committee shall review all research at Georgia Southwestern State University that involves human subjects. Faculty and community members shall constitute the committee. Federal guidelines must be followed by the IRB (45 CFR 46). The committee shall ensure the following:

That research is conducted in an ethical manner.

That risks to subjects are minimized.

That selection of subjects is equitable.

That subjects are fully informed about their involvement in research projects.

The Vice President for Academic Affairs shall be an ex-officio member of the committee.

**Committee on Instructional Technology.** The committee shall provide a functional link between the faculty, administration and the Instructional Technology Center (ITC). The committee shall annually review the current status of campus-wide instructional technology and advise ITC on efficient methods of implementing and maintain current instructional technologies. The committee will serve as a liaison between the faculty and administration. The committee will consist of two (2) full-time faculty members

<sup>1</sup>Approved by GSW Faculty 12/5/2008 and BOR 3/17/2009 from the School of Arts and Sciences, and one (1) from each of the other schools. The director of ITC, the Instructional Technology Support Specialist, and the Operations and Systems Supervisor (or designee) shall serve as ex-officio members.

In its specific task, the committee shall be responsible for the following:

Conduct campus-wide instructional technology assessments and continually update an annual Instructional Technology Plan for the institution.

Review and evaluate direction for the operation of ITC.

Review faculty technology training.

Review use of Distance Learning, Web-based instruction, video production and Channel 8 programming, policies and practices.

Review and prioritize Faculty Instructional Technology grant requests and recommend to the Vice President for Academics Affairs for disbursement of funds.

**University and Alumni Relations Committee.** The committee shall cooperate with the Vice President for University Relations, the Director of Alumni Affairs, and the Director of Admissions in determining policies related to the general advancement of the University. In its specific tasks, the committee shall be responsible for advising in the:

Promotion and improvement of the public image of the University.  
Formulation of policies and programs that will stimulate the recruitment and selection of prospective students.

Establishment and continuation of contact with alumni.

Promotion of the interests of alumni and provision of alumni services.

The Vice President for University Relations, the Director of Alumni Affairs, and the Director of Undergraduate Admissions shall be ex-officio members of the committee.

**<sup>2</sup>Committee on Student Affairs.** This committee shall cooperate with and advise the Vice President of Student Affairs regarding policies related to the general welfare of the student body. The Vice President of Student Affairs and the Director of Student Life shall serve as ex-officio members of this committee. Two student representatives from the Student Government Association shall also be members. The Chair of the committee on Student Affairs, with the advice and consent of the committee, may invite or appoint others to become standing or select ex-officio members, and may request the attendance of a student organization faculty advisor and/or a student organization representative to attend committee hearings and meetings where the business of their respective organizations are being reviewed and/or discussed. In specific tasks, the committee shall:

Consider and review all student organization petitions for recognition, all new and revised student organization constitutions, and communicate committee recommendations to the Director of Student Life.

Be concerned with and review policies and programs designed to promote and improve the quality of student publications and, consistent with the authority and duties set forth in "Section IV: University Policies" of the Faculty Handbook, serve as the screening and evaluation committee for the selection and/or removal of the editors of the following student media organizations: Sou'Wester, Hurricane Watch, and Sirocco.

Be concerned with and review the enforcement of rules and regulations related to student conduct, recommend appropriate action to the President in all judicial/disciplinary cases referred to it by the University President.

Be receptive to hearing the concerns of student groups or individuals who have not other

apparent venue to present their concerns, and to communicate those concerns through appropriate channels.

Be concerned with and review policies and programs designed to promote and improve all aspects of student academic performance, career and personal development, campus living, and the physical, mental, and emotional well-being of each student.

<sup>2</sup>Approved by Student Affairs Committee 11/01/10 and GSW Faculty on 12/03/10

**Committee on Faculty Affairs.** The committee shall be concerned with the general welfare and development of the faculty. It shall cooperate with the Grants officer, the Vice president for Academic Affairs, and the Faculty Senate in determining policies and procedures related to the general welfare of the faculty. The Vice president for Academic Affairs shall be an ex-officio member of this committee. In its specific tasks, the committee shall:

Be concerned with the improvement of faculty welfare, be responsible for recommendations regarding the maintenance and improvement of faculty fringe benefit programs, and shall make recommendations on general faculty welfare matters to the Faculty Senate and faculty.

Assist in the establishment of guidelines for the recruitment, selection, retention, and professional development of faculty members.

In cooperation with the Grants Officer, assist in making available to the faculty information regarding grants for professional and personal development.

Assist in the establishment of guidelines for the evaluation of faculty members.

**Committee on Business and Finance.** The committee shall cooperate with the Vice President for Business and Finance in determining policies related to the business and general relations of the University constituencies. The Vice President for Business and Finance shall be an ex-officio member of this committee. In its specific tasks, the committee shall:

Encourage proper utilization of the University's financial resources and provide faculty perspective on this matter.

Be concerned with operations of the auxiliary enterprises such as the bookstore, student center, dining facilities, and postal services.

Assist in the planning, development, and expansion of the physical facilities, and be concerned with the aesthetic appearance of the campus as well as the development of the instructional facilities.

Assist in the development and implementation of policies and procedures relating to maintaining the security of the campus, and the enforcement of the safety and traffic regulations.

**Committee on Athletics.** The committee shall be concerned with development of the intercollegiate and intramural athletic programs. The Director of Athletics shall be an ex-officio member of this committee.

**Committee on Scholarships and Financial Aid.** The committee shall assist in the development of policy for the administration of scholarships and financial aid. The Director of Financial Aid and the Director of Admissions shall be ex-officio members of this committee. This committee shall recommend policies related to the administration of the financial aid program.

**Committee on Academic Grievances.** The Committee shall be concerned with academic policies and practices used in enforcing standards of behavior related to classroom, laboratory, and similar academic situations. The committee shall have authority to conduct inquiries into academic

grievances referred to it by the President. All students, faculty, and administrative personnel involved in disputes or conflicts over academic matters shall have access to the committee whenever the President submits a matter to the committee for consideration.

The committee shall attempt resolutions of academic grievances through established procedures, and shall present its written findings and recommendations to the President.

The University Hearing Officer shall be an ex-officio member of the committee.

**Committee on Graduate Affairs.** The committee shall be generally concerned with the quality of instruction and the development of curriculum and instructional facilities of the University in relation to graduate programs. The Director of Graduate Studies, the Director of Library Services and the Deans of the Schools, which offer graduate degree programs, shall be ex-officio members of the committee. All members of Graduate Affairs must have graduate faculty status.

The committee shall:

Establish and monitor policy for graduate programs.

Review and forward to the faculty governance system all changes in policy for graduate programs and all proposals for modification, addition or deletion of graduate degree programs and concentrations.

Serve graduate students in the same role as the Academic Affairs Committee serves undergraduate students.

Insure that proposals relating to graduate teacher education are reviewed by the Teacher Education Committee before taking action.

Establish policies and monitor administration of programs for the funding, recruitment, selection, assignment, employment and evaluation of graduate assistantships.

## **Section 5. Academic Schools and College**

The academic schools and college are administrative subdivisions of the University established for the purpose of giving instructions in one or more of the well-organized fields of study. A school or college may be further subdivided into departments. The faculty or corps of instruction of a school or college shall consist of all full-time professors, associate professors, assistant professors, lecturers and senior lecturers, and any teachers or personnel with such other titles as may be approved by the Board of Regents. Full-time research and extension personnel and duly certified librarians will be included in the corps of instruction on the basis of comparable training.

## **Section 6. Academic Deans**

**Appointment.** The Academic Deans shall be appointed by the President with the approval of the Chancellor and the Board of Regents and shall hold office at the pleasure of the President. The dean shall report to the Vice President for Academic Affairs, and have responsibility for planning, organizing, directing, and supervising the overall operation of the division, and for the quality of faculty performance.

1. Planning responsibility shall consist of setting feasible operational goals determined by joint efforts of the faculty congruent with university and system policies. Goals shall contain cost effective short-range and long-range objectives set within given human and financial budgetary limitations. Plans shall include meeting all external accreditation criteria required of each degree program.
2. Organizational responsibility shall consist of orderly development of methods and processes to facilitate program, curricula, and faculty development. The development and growth of these areas shall be congruent with faculty, institutional, student, community, and regional needs. A positive and progressive organizational climate, designed to promote professional growth and

development of both students and faculty, shall be a major goal.

3. Directing responsibilities shall consist of establishing administrative procedures and routines to insure that all division data are promptly and accurately collected and transmitted via written and verbal reports to both administrators and the faculty. Collected data shall be used as empirical evidence to support effective planning for the future of the division.
4. Supervising responsibility shall require the establishment and operation of the quality assurance programs in (1) advisement, (2) budgetary controls, (3) course scheduling, (4) curricula development, (5) human resources evaluation, (6) classroom instruction, (7) community service, (8) seminars, and (9) research. Facilities and equipment acquisition shall be congruent with the instructional needs of both faculty and students and shall promote progressive and orderly development of the major objectives outlined in the planning phase. An annual review of results shall be presented to the faculty.
5. The dean shall receive an annual evaluation by the Vice President for Academic Affairs and shall be properly apprised as to performance as outlined in this section. The orderly placement of a dean shall be consistent with performance appraisals which fall above or below normative performance of deans in like institutions. Performance appraisals shall be used in appraising the deans of the level of their performance.

#### **Section 7. Department Chairs**

A department is an administrative subdivision of the University established within a school or college and organized for the purpose of giving instruction in one or more of the well-recognized fields of study and investigation.

Each department, so established and designated, is directed by a department chair. The chair is appointed by the President after consultation with the academic dean and the Vice President for Academic Affairs, and with the approval of the Chancellor and the Board of Regents, and shall hold office at the pleasure of the President. The department chair shall:

Be responsible for the general direction of the work of the department and for the formation, in consultation with the departmental corps of instruction and the division chair, of department plans; for execution of these plans and of the policies of the University insofar as they affect the work of the department.

Be the representative of the department in all official communications with the academic dean, the Vice President for Academic Affairs, the President, and the University officers and in official departmental communications with students.

Be responsible for the quality of instruction offered in the department; give close supervision to the classroom instruction of departmental corps of instruction; consult from time to time with each member of the department regarding the nature, scope, and quality of the faculty member's teaching; and make recommendations to the academic dean regarding the selection, promotion, retention, nonrenewal, and removal of the faculty members of the department.

Cooperate with the academic dean in the assignment of courses within the department and maintain, insofar as possible, an equitable and mutually agreeable distribution of courses and sections; have general supervision of the work of the students in the department and coordinate the advisement activities of the faculty.

After consultation with the department members, prepare a budget request for the department and submit it to the academic dean.

Prepare an annual report to be incorporated in the academic dean's report to the Vice President of Academic Affairs.

In the fields of study in which no department has been established or no chair appointed, the academic dean, with the approval of the Vice President for Academic Affairs and the President, may assign certain duties to a coordinator. (The responsibility for these duties rests with the academic dean.) The duties of the coordinators shall include:

General direction of the work of the area in consultation with the academic dean; execution of the direction of the academic dean.

Representation of the area in all official communications with the academic dean and, through the academic dean, to the Vice President for Academic Affairs, the President, and other officers, and in official communications with students.

General direction of instructional services offered in the area, including the course offerings, faculty assignments to courses, development of new courses and programs, all in consultation with the academic dean. In consultation with the [area] faculty, the coordinator shall make recommendations to the academic dean regarding selection, retention, removal, and promotion of faculty members.

General coordination of advisement activities of the area and supervision of students in the area.

Development of budget requests in cooperation with the faculty of the area; and preparation of an annual report to be incorporated within the annual report of the school, in cooperation with the academic dean.

#### **Section 8. Individual Faculty Members**

In a changing educational environment, the role of the individual faculty member will necessarily be in a continuous process of evolution. Therefore, the responsibilities and duties of the faculty are best defined in a regularly revised document, the Faculty Handbook, and in conformity with these Statutes.

The primary responsibility of the corps of instruction faculty is to teach and, in doing this, to assist students in the acquisitions of skills, attitudes, and understanding relevant to course objectives. Each instructor is responsible for the quality and content of instruction in his or her classroom and for the evaluation of student academic performance relative to course objectives.

The faculty member also plays an essential role in university life outside the classroom through academic advisement, service on individual or departmental committees, and supervision of student activities. A faculty member is expected to assume professional responsibilities with the above and additional areas to which he or she might reasonably be assigned by the University, division or departmental administration in accordance with these Statutes and the Policies of the Board of Regents.

The faculty member is also expected to be a professional in his or her own discipline, to stay abreast of current developments, and to be professionally active and productive by whatever means are pertinent to this discipline (i.e., conferences, performances, publications, etc.).

## ARTICLE V

### Students

#### **Section 1. Admission of Students**

Policies governing the admission of students, whether new, transfer, transient, or auditing, will follow procedures as outlined in the current University Bulletin.

#### **Section 2. Student Conduct and Academic Performance**

Regulations regarding student conduct and academic performance shall follow procedures as prescribed in the current publications approved by the University.

#### **Section 3. Student Organizations and Activities**

Provisions and guidelines for organizing student activities shall follow procedures as stated in current publications approved by the University.

## ARTICLE VI

### Miscellaneous Provisions

All questions of interpretation of these Statutes and questions of the nature and extent of the jurisdiction of the faculty and of the various administrative officers under these Statutes are to be determined by the President.

The President shall settle all questions of conflicts of jurisdiction that may arise between any of the committees, or any committee and the Senate, or between them and the administrative officers of the University.

After the decision of the President on such questions, an appeal may be made to the Board of Regents, as provided in Article IX of the By-Laws of the Board of Regents.

These Statutes shall become effective on their adoption by a two-thirds vote of the faculty at a faculty meeting at which a quorum of the faculty is present, and the approval of the Board of Regents of the University System of Georgia. The adoption of these Statutes shall rescind any and all previous Statutes, rules, and faculty decisions which are contrary to the provisions herein given.

In the event of a conflict between the *Faculty Statutes* and the *Faculty Handbook*, the former takes precedence.

General Faculty meetings shall be conducted in accordance with *Robert's Rules of Order, Revised*.

Faculty must receive agenda and related materials at least three working days before a faculty meeting is held.

## ARTICLE VII

### Amendments

All proposed amendments to the Statutes of Georgia Southwestern State University shall be made to the Faculty Senate. If the Faculty Senate approves an amendment by a two-thirds vote of its members, it shall be submitted to the Faculty.

When an amendment is approved by a two-thirds vote of the faculty at a faculty meeting at which a quorum is present (See Article III, Section II, provision for quorum), it shall be submitted to the President of the University. If the President approves, he or she will submit it to the Chancellor and the Board of Regents for formal ratification. The President may veto a proposed amendment by following the procedure set forth in Article II, Section 2.

Amendments approved by the Board of Regents shall be effective on the date of Board Action.

Approved by the Board of Regents



**Academic Affairs Organization Chart**

[Click here to view the Current Organization Chart online.](#)

**Graduate Assistant Evaluation Form**

[Click here to download the Graduate Assistant Evaluation Form](#)

**Faculty Development Grant Proposal Form**

[Click here to download the Faculty Development Grant Proposal Form](#)