



**SOUTHERN UNIVERSITY**  
**NEW ORLEANS**

# **FACULTY HANDBOOK**

**Victor Ukpolo, Ph.D.**  
**Chancellor**

**David Adegboye, Ph.D.**  
**Vice Chancellor for Academic Affairs**

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## **PREFACE**

This is Southern University at New Orleans' Faculty Handbook which serves as a guidance and reference document approved by the Southern University System Board of Supervisors at its March 18 – 19, 2005 meeting held at Southern University Shreveport, Louisiana. This document is effective immediately. It provides guidance and serves as a primary reference in its own right and the major source from which more specific campus faculty handbooks may be developed.

Southern University at New Orleans Faculty Handbook was drawn from the Southern University System Handbook which is the result of the hard work of administration, faculty, faculty senate officers, representatives, campus and system administrators. The document provides a ready source of legitimization for procedures and actions that faculty undertake daily and in so doing provides a true sense of reassurance and confidence for the important duties critical to the functioning of this campus. This Southern University at New Orleans Faculty Handbook is a tremendous accomplishment in which everyone throughout the campus is truly proud.

***Victor Ukpolo, Ph.D.***  
***Chancellor***  
***Southern University at New Orleans***

## **NOTICE**

The Faculty Handbook is intended to be a compilation of information, policies and rules associated with the University at the time the Handbook is compiled. It does not form a contract nor is it intended to form a contract with the University or System's faculty or staff. Any provision of this Handbook in conflict with any policy or rule of the Board of Supervisors of the Southern University System, State law or regulation, shall be superseded by the Board rule, policy or State law. Any State law, regulation, policy or rule of the Southern University System adopted during the existence of the Handbook shall automatically modify or amend any provision of the Handbook to conform to such law, regulation or rule.

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## **CHAPTER I            GENERAL INFORMATION**

### **1.1 Brief Historical Sketch of Southern University**

In 1879, P. B. S. Pinchback, T. T. Allain, T. B. Stamps, and Henry Demas sponsored the movement in the Louisiana State Constitutional Convention that resulted in the establishment in the City of New Orleans of an institution “for the education of persons of color.” This institution was chartered as Southern University in April, 1880, by the General Assembly of the State of Louisiana. The State Legislature passed Act 87 in 1880 as a proper act of incorporation and governance of the Institution. Section 7 of the Act provided that this Board of trustees “shall establish a faculty of arts and letters, which shall be competent to instruct in every branch of liberal education; and under the rules of, and in concurrence with the Board of Trustees, to graduate students and grant degrees pertaining to arts and letters to persons competent and deserving.”

On October 19, 1880, the Board of Trustees was organized under the Chairmanship of Dr. J. B. Wilkinson. A. Mercier was elected President of the Board; T. T. Allain, Vice President, and Edwin W. Fay, Secretary-Treasurer. Other members of the Board were: General Zebulon York, Washington Saunders, S. D. Stockman, I. N. Marks, A. R. Gourrier, and George Fayerweather.

The Board of Trustees elected A. R. Gourrier to serve as President of Southern University, but he resigned on February 14, 1881, before the University opened. The Board then elected George Fayerweather as Interim President. During this administration, the University was opened. Successive presidents were: the Reverend C. H. Thompson, Rector of St. Philip’s Episcopal Church, 1882-1883; the Reverend J. H. Harrison, graduate of Vanderbilt University, 1883-1886; George W. Bathwell, 1886-1887; and H. A. Hill, 1887-1913.

On December 1, 1880, five individuals were bonded to establish the University Treasury. They were George Fayerweather, bonded for \$10,000, and four residents of Feliciana Parish – Albert Mayer, D. J. Wedge, J. G. Kilbourne, and W. H. Piper – each bonded for \$2,500. The trustees then purchased the building of the Hebrew Girls School, formerly the Israel Sinai Temple Synagogue, on Caliope Street, between St. Charles and Camp streets in New Orleans, as the site for the University.

Southern University was opened on March 7, 1881, with 12 students. The University’s support was secured by a Constitutional provision, on February 6, 1882, which granted an annual State appropriation of \$10,000. At the same time the Legislature reorganized the Board of Trustees with W. H. Chaffee, President; T. T. Allain, Vice President, and Charles Kever, Secretary Treasurer. By 1886, the University had outgrown its facilities and a State appropriation of \$14,000 was used to purchase the square at Magazine and Soniat streets. Later, two classic Doric columned buildings were erected. In 1890, an Agricultural and Mechanical Department was established. In 1891, Southern University was recognized by the Federal Government as a Land Grant College under the Federal Act of 1890, known as the Second Morrill Act.

Legislative Act 118 of 1912 authorized the closing and sale of Southern University of New Orleans, and the reestablishment of the University on a new site. Act 118 also provided for the reorganization of the University with a new Board of Trustees to be appointed to four-year terms by the State Governor. This Act was validated by the Supreme Court on June 14, 1913. In July of 1913, the Board of Trustees elected Joseph Samuel Clark, President of Baton Rouge College and the Louisiana Colored Teachers Association, to serve as President of the “New” Southern University. In 1914, Southern University in New Orleans was closed by Legislative authorization. On March 9 of that same year, the “New” Southern University was opened in Scotlandville, Louisiana.

The Louisiana Constitutional Convention of 1921 authorized the reorganization and expansion of Southern University; and Legislative Act 100 of 1922 provided that the University be reorganized under the control of the State Board of Education, effective immediately. The New Orleans campus was founded as a branch unit of Southern University at Baton Rouge by Act 28 of the Louisiana Legislature on September 4, 1956. On September 21, 1959, SUNO began its initial year of operation on its 17 acre site located on the perimeter of Pontchartrain Park with a freshman class of 158 students, one building, and a faculty of 15. Southern University at Shreveport was created by Act 42 of the ordinary session of the Louisiana Legislature on May 11, 1964, and designated a two-year commuter college to serve the Shreveport-Bossier City area.

The State Constitution Convention of 1973 authorized the creation of the Board of Supervisors for Southern University. In 1974, the management of the University was transferred from the Louisiana State Board of Education to the newly created Board of Supervisors of Southern University and Agricultural and Mechanical College by Article 8, Section 7 of the Louisiana Constitution of 1974. SUBR, SUNO and SUSLA were the three campuses of the Southern University System, headquartered in Baton Rouge. In 1977, the Southern University Board of Supervisors reorganized the system and Dr. Jesse N. Stone, was designated System President, with office and residence on the Baton Rouge campus. The chief administrative officer on each campus was designated Chancellor. They were Dr. Roosevelt Steptoe, Chancellor, Baton Rouge campus (1977-1982); Dr. Emmett W. Bashful, Chancellor, New Orleans campus (1977-1987); and Leonard Barnes, Chancellor, Shreveport campus (1977-1986).

On June 29, 1985, the Southern University Board of Supervisors changed the name of Southern University School of Law to the Southern University Law Center. Dr. B. K. Agnihotri was named Chancellor (1985-2003). The current Chancellor of the Law Center is Dr. Freddie Pitcher (2003-present). In 2001, the Agricultural Research and Extension Center was established, making a total of five institutions in the System, out of the need to enhance the impact of our land-grant programs on the citizenry of the state of Louisiana. Dr. Leodrey Williams was named Chancellor (2001-present). From its humble beginnings, the institutions of the Southern University System have grown, offering over 152 degree programs combined ranging from certificates to doctorates. The System is the only historically black Land Grant university system in the United States.

Other System Presidents have been Dr. Joffre T. Whisenton, (1985-1988), and Dr. Dolores R. Spikes (1988-1996). Dr. Leon Tarver II became System President January 1, 1997.

Other Chancellors of the New Orleans campus have been Dr. Dolores R. Spikes (1987-1988), Dr. Robert B. Gex (1988-1997), Dr. Gerald C. Peoples (1997- 2000), Dr. Press L. Robinson (2000), Dr. Joseph Bouie, Jr. (2000-2002), Dr. Press L. Robinson (2002-2005) and Dr. Victor Ukpolo (2006 – Present).

## **1.2 Statement of Purpose**

Institutions within the Southern University System are publicly supported, coeducational, and historically black in terms of the student body. In addition, SUNO is a land-grant and comprehensive institution. The institutions prepare students to compete globally in their respective professions and to engage in advanced study in graduate and professional schools. The System's institutions offer its students a broad education that prepares them to meet the changing demands of an international society, offering a core of liberal arts courses, quality academic programs, and support services to meet the diverse needs and abilities of all qualified students.

Southern University's admissions policies in all of its institutions are grounded in the belief that opportunity and quality can coexist in a diverse educational environment. To this end, the institutions offer a wide range of learning opportunities designed to allow students with different abilities to obtain an education that will withstand rigorous scrutiny.

Southern University campuses, as a whole, offer programs of study ranging from associate degrees to professional degrees. Education opportunities are provided for traditional and non-traditional students offering scholarly interaction among diverse people. The University is committed to a broad program of research, both basic and applied, and creative work to stimulate the faculty and students in a quest for knowledge and to aid society in resolving its scientific, technological, socio-economic, and cultural problems.

Southern University renders service to the community through urban/rural programs and makes available educational, cultural, and developmental resources to enhance the quality of life. Adhering to the spirit of its function as an 1890 land-grant institution, the University's public service programs have assumed a prominent position throughout Louisiana as well as nationally and internationally.

Southern University views diversity as vital to the health of any educational enterprise. To support this philosophy, the University takes affirmative steps to maintain a multicultural faculty, staff, and student body. This diversity is achieved principally through assertive recruitment efforts and through multifaceted international programs.

The University seeks to recruit and maintain a faculty which, through its preparation and scholarly activities, exerts a profound effect on various institutions in the state, region, nation, and world. Beyond their traditional roles, faculty members perform distinguished service that complements and enhances both teaching and research initiatives and provides an additional mechanism for Southern University to have an impact on the entire community.

The University develops and maintains a physical environment that is safe and conducive to intellectual growth and development while operating in accordance with the highest standards of

fiscal and administrative management. This environment is enhanced through the use of the most recent information technology, which offers the University community access to resources from throughout the world.

### 1.3 Accreditation

- A. Southern University at New Orleans is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award Associate, Bachelor, and Master degrees. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call (404) 679-4501 for questions about the accreditation of Southern University at New Orleans. Normal inquiries about the institution, such as admission requirements, financial aid, and educational programs, etc., should be directed to the institution, and not to the Commission, at 6400 Press Drive, New Orleans, LA 70126, or to phone number (504) 286-5000.
- B. In addition to this regional accreditation which covers all programs, certain programs enjoy accreditation by the following professional accrediting associations:

<b>Accrediting Organizations</b>	<b>Programs</b>
National Council for the Accreditation of Teacher Education	Education
Council of Social Work Education	Social Work

## Southern University at New Orleans

### HISTORICAL SKETCH

Southern University at New Orleans (SUNO) is a senior state university of higher learning. It was founded as a branch unit of Southern University and Agricultural and Mechanical College, Baton Rouge, by Act 28 of the Extraordinary Session of the Louisiana Legislature of September 4, 1956. Over the next two years, the Louisiana Legislature appropriated \$1,050,000 out of the General Fund of the State of Louisiana's Treasury for the acquisition of property, the construction of necessary buildings, and the furnishing of the new facility.

On September 21, 1959, Southern University at New Orleans, under the direct supervision of the Louisiana State Board of Education, began its initial year of operation on a seventeen-acre site located on the perimeter of Pontchartrain Park, a subdivision of single family residences in eastern New Orleans. With a freshman class of 158 students, one building, and a faculty of fifteen, the University offered ten courses in four academic disciplines — humanities, science, social science, and commerce. The first graduation took place in May, 1963 at which time baccalaureate degrees were awarded to fifteen persons.

Within five short years of its establishment, Southern University at New Orleans experienced remarkable growth. During the fall semester of 1964, its student enrollment increased to 1,300 and its faculty grew to 70. Also, during that same five-year period there occurred two events which significantly affected the direction of the institution. First, on November 8, 1960, the Louisiana Legislature adopted Amendment 26. This act prescribed that Southern University at New Orleans shall remain in *perpetuum* a branch unit, an extension of Southern University and Agricultural and Mechanical College, Baton Rouge, thereby precluding any impending status of autonomy for SUNO. Second, in January 1964, Virginia Cox Welch, a white high school teacher filed a lawsuit in federal court against the Louisiana State Board of Education. This litigation, Civil Action No. 14217, resulted in opening the university to all individuals regardless of race or color.

In 1975, by virtue of Article 8, Section 7 of the Louisiana Constitution of 1974, the management of Southern University at New Orleans was transferred from the Louisiana State Board of Education to the newly-created Board of Supervisors of Southern University and Agricultural and Mechanical College. The new constitution also designated SUNO as one of three campuses of the Southern University System having parity with the other campuses.

Southern University at New Orleans benefited from the Consent Decree in the 80s. This court order handed down by federal judges as an out-of-court settlement between the State of Louisiana and the Justice Department over the issue of segregation, allowed the University to add nine new programs and to receive enhancement funds to upgrade the physical resources. However, the consent Decree failed to end racial discrimination in higher education in Louisiana. On November 14, 1994, with Civil Action 80-3300, the United States and the State of Louisiana, Governor of the Louisiana, Louisiana Board of Regents, Boards of Supervisors for Louisiana State University and Southern University and the Board of Trustees for State Colleges and Universities agreed to a Desegregation Settlement. With this Settlement (effective through 2004), SUNO retained its open admissions status and classification as a Four

Year-V University, expecting to qualify as a Four Year IV University by offering four-year undergraduate programs and graduate programs in specific areas.

Each year, approximately 450 undergraduate and 70 graduate degrees are awarded. The University offers approximately 400 different courses and services approximately 4,000 students each semester. A range of basic degree programs in the liberal arts and sciences, business, education, and the technologies, and graduate degree programs in Social Work,

Criminal Justice, Computer Information Systems, and Urban Education are among the offerings. The University maintains a faculty of about 270, with 67% of the full-time faculty holding the earned doctorate.

SUNO's present physical plant consists of thirteen buildings located on sixty-one acres, at an acquisition cost of twenty-five and a half million dollars. Additions, including acquisition of the North Campus and renovations to original buildings combine to provide 388,500 square footage of floor space for instructional and support activities at a total cost of thirty-two and a half million dollars. The Multi-purpose, one of the last buildings constructed, houses a 1200-seat auditorium and increased office-space capacity on the campus.

While SUNO has experienced tremendous growth and development in many areas in its short history, the mission of Southern University at New Orleans, however, has not changed significantly. The University was established primarily, but not exclusively, for the education of African American citizens of the Greater New Orleans area and the State of Louisiana in general. While the University admits and actively recruits qualified students without regard to race, color, origin, religion, age, sex, or physical handicap, it maintains its strong commitment to serve the higher education needs of the student population within the Greater New Orleans Metropolitan area. The current mission was formulated in the late 1990s according to the Board of Regents' Master Plan for Public Post-Secondary Education. The mission addresses educational, administrative and support programs which assist the University in realizing its six basic objectives and twelve institutional goals. Because of its commitment to equity and opportunity, Southern University has always been driven by a need to serve students where they are (academically) when they enter the University. Consequently, programs of instruction (from remediation to honors) exist on the campus. Having served as a beacon light of inspiration to its constituency, Southern University at New Orleans continues to make a meaningful contribution to the upward mobility of the people of the community which it serves.

## MISSION STATEMENT

Southern University at New Orleans (SUNO) primarily serves the educational and cultural needs of the Greater New Orleans metropolitan areas. SUNO creates and maintains an environment conducive to learning and growth, promotes the upward mobility of students by preparing them to enter into new as well as traditional careers, and equips them to function optimally in the mainstream of American society.”

The University provides a sound education tailored to special needs of students coming to an open admissions institution and prepares them for full participation in a complex and changing society. It offers a liberal education directed toward the achievement of higher literacy and broad intellectual development, which in turn serves as a foundation for training in one of the professions. SUNO provides instruction for working adults of the area who seek to continue their education in the evening or on weekends.

In support of its stated mission, the University embraces six basic objectives: (1) to afford to the citizenry of the Greater New Orleans Metropolitan Area increased opportunities for higher learning; (2) to provide instruction for the working adult populace of the area who seek to continue their education in the evenings or on the weekend; (3) to train individuals for positions in business, education, industry, and government; (4) to prepare students for graduate work or advanced study; (5) to instruct at the graduate level for the awarding of advanced degrees; and (6) to provide opportunities for personal development, self-understanding, and an enhanced self-image. To realize these objectives, the University has undertaken the following institutional goals:

- A. Prepare the student to demonstrate facility and competency in written expression.
- B. Prepare the student to demonstrate facility and precision in the use of the spoken word.
- C. Prepare the student to demonstrate competency and facility in computational and quantitative skills.
- D. Prepare the student to demonstrate competency in his or her major field.
- E. Prepare the student for successful employment in his or her chosen profession.
- F. Prepare the student for successful admission to graduate and professional schools.
- G. Prepare the student to engage in effective inter-personal relations in professional and social settings.
- H. Prepare the student to demonstrate interest in and commitment to resolving civic and social community issues and problems.
- I. Increase the number of faculty involved in research and other scholarly activities.
- J. Develop an effective program of enrollment management that enables the University to maintain a student body consisting of students who are committed to high academic achievement and who represent diversified social, economic, and geographical origins.

- K. Offer a program of public service and contribute to the well being and development of the New Orleans Community and the surrounding areas.
- L. Provide the financial resources needed for the achievement of the University's goals through responsible management and budgeting.

## **CHAPTER II THE ADMINISTRATION OF THE UNIVERSITY**

### **2.1 Governing Boards**

#### **2.1.1 The Board of Regents**

The Board of Regents was created by the 1974 Constitution of the State of Louisiana. According to Article VIII, Sec. 5 it shall plan, coordinate, and have budgetary responsibility for all public higher education. Specifically, the Board of Regents is empowered to revise or eliminate an existing degree program, department of instruction, or similar division; to approve, disapprove, or modify a proposed degree program, department of instruction, division, or similar subdivision; to study the need for and feasibility of any new institution of post-secondary education, including branches of institutions and conversion of two-year institutions to institutions offering longer course of study. Additionally, the Board formulates and makes timely revision of a master plan for higher education; for mandatory use by every higher education board; and requires an annual budget proposal for operational and capital needs of each institution under the control of each board. The Board is composed of fifteen members appointed by the governor with the consent of the Senate. The members serve overlapping terms of six years. At least one member, but no more than two members, shall be appointed from each congressional district. A student member, elected from the student body presidents of the state's institutions of higher education, serves a one-year term.

#### **2.1.2 Board of Supervisors**

The Board is empowered to supervise and manage the Southern University System, which includes five campuses. Specifically, the Board of Supervisors has exclusive administrative authority over operation of the University, which includes not only the power to prescribe courses, to select faculty, and to hire and fire employees, but also power to adopt and to enforce administratively, reasonable regulations governing on-campus activity and conduct of faculty, employees, and students. The Board of Supervisors is vested with those powers not specifically vested to in the Board of Regents. The Board of Supervisors is composed of sixteen voting members, two from each of the eight Congressional Districts of the State, one from the State at large, and one student member. The members serve overlapping terms of six years, following terms fixed by law. The student member, elected from the student body presidents of the System's institutions, serves a one-year term.

The President of the University System acts as Secretary to the Board, its Executive Committee, and other standing and special committees. The Board holds at least nine regular meetings in each calendar year, with at least one meeting held at each of the campuses of the System. All communications to the Board or to its committees from a student organization, teacher, officer, or employee of the System shall be transmitted to the President through the appropriate Chancellor, and transmitted by the President to the Board. Communication from other persons having official relations with the University System shall be filed in writing with the President and duly transmitted by him or her to the Board. For further information, refer to the Bylaws, Article VI.

## **2.2 Southern University System**

Designated as a Land Grant System, the Southern University System is the only historically black higher education system in the nation. The Southern University System is made up of the following institutions: Southern University and Agricultural and Mechanical College at Baton Rouge (SUBR), Southern University at New Orleans (SUNO), Southern University at Shreveport (SUSLA), Southern University Law Center at Baton Rouge (SULC), and Southern University Agricultural Extension and Research Program located in Baton Rouge (SUAREC).

## **2.3 President**

The President is the chief executive officer of the University System, and holds office at the pleasure of the Board, with discretionary authority broad enough to enable him/her to meet his/her extensive responsibilities. Principal staff officers assisting the President in the administration of the University System are the System Vice Presidents for Administration and Management; Finance and Business Affairs and Comptroller and Academic and Student Affairs; an Assistant Vice President for Human Resources and Counsel to the President; Directors of External Affairs and SUS Foundation, Alumni Federation, and Information Technology Resource Management; Director of Public Affairs; an Assistant Vice President for Institutional Planning and Research; an Assistant to the Vice President for Academic Affairs/International Programs; an Executive Associate to the President; a Research Assistant, a Coordinator of Scholarships/Policy Management; and an Assistant Vice President for Academic Affairs /Desegregation Settlement Coordinator.

## **2.4 Chancellor**

The Office of the Chancellor is the chief executive and administrative office on each campus. It is responsible for the effective execution of all laws, resolutions, polices, rules and regulations adopted by appropriate agencies for the administration of the Southern University System as well as for developing and implementing educational, administrative and fiscal policies, procedures and programs for the campus. The Chancellor is the chief administrative officer and a member of the faculty. The Chancellor serves at the pleasure of the Board, taking into consideration the recommendations of the President and the expression of opinion of the faculty. The duties and responsibilities of the Chancellor are set forth in Article VII, Section 6 of the Bylaws and Regulations of the Southern University Board of Supervisors. The Chancellor exercises complete executive authority over the campus, subject to the direction of the President and the Board and has, among others, the responsibility for fixing the salaries and duties of the members of the faculty, administrative and professional staff for the campus, subject to the recommendation of the President and approval of the Board; making all other appointments, promotions, transfers, suspensions, and dismissals of all academic, administrative, and professional employees subject to the recommendations of the President and approval of the Board; holding responsibility and authority to exercise administrative and fiscal control over the intercollegiate athletics program; having control and oversight over all fundraising activities; developing and implementing educational, administrative, and fiscal policies and programs for the campus consistent with the policies of the Southern University System.

## **2.5 Duties and Responsibilities of Other Administrative, Academic and Instructional Officers of the Campus - Southern University – New Orleans**

### **2.5.1 Vice Chancellor for Academic Affairs**

The Vice Chancellor for Academic Affairs is responsible for all academic programs of the University, including curriculum, faculty, academic publications, accreditation, and other related programs. The Vice Chancellor provides assistance to the Chancellor in the formulation of broad academic policies at the university. The vice chancellor reports to the chancellor. The Vice Chancellor for Academic Affairs is the chief academic officer and supervises the deans of academic colleges and the School of Social Work, and administrative units and directors of academic support areas.

### **2.5.2 Associate Vice Chancellor for Academic Affairs – Academic Programs**

The Associate Vice Chancellor for Academic Affairs – Academic Programs reports directly to the Vice Chancellor for Academic Affairs and functions in a senior leadership position to provide direction and coordination of academic programs. This officer will also function as the senior officer in assisting the Vice Chancellor for Academic Affairs with the administration of academic policies and other matters including:

1. Interpreting (in writing and/or orally) rules, regulations, policies, and procedures of the University to members within the academic area.
2. Providing orientation programs on University policies and procedures for new faculty.
3. Insuring continuous curriculum evaluation and improvement and supervision of curricula and course planning.
4. Promoting professional growth of faculty.
5. Supervising selected publications for faculty, students and the University.
6. Supervising and coordinating the circulation and maintenance of data to and from college deans and departmental chairpersons pertaining to academic matters and faculty welfare.
7. Receiving and editing reports from all areas responsible for the preparation of the annual report.
8. Providing leadership and planning in the utilization and acquisition of space for academic programs.
9. Making decisions in the absence of the Vice Chancellor of Academic Affairs according to established policy.

10. Supervising class scheduling.
11. Providing input in all areas under the jurisdiction of the Vice Chancellor for Academic Affairs.

### **2.5.3 Associate Vice Chancellor for Academic Affairs – Faculty and Trio Programs**

The Associate Vice Chancellor for Academic Affairs – Faculty and Trio Programs reports directly to the Vice Chancellor for Academic Affairs.

Major responsibilities include:

1. The University scheduling which includes: receiving schedule changes, addition or deletion from the Deans and meeting with the Registrar to address the issues and concerns regarding schedule.
2. Provide the leadership for the Recap meeting with the Deans where all classes are reviewed in an attempt to make the determination whether it materializes or not.
3. Responding to faculty's concerns as related to courses, faculty/student relationships.
4. Provide the leadership for faculty development endeavors: each semester will organize faculty development activities focused on growth, productivity and providing additional knowledge for faculty members to grow and become more astute in their academic discipline.
5. Provide the leadership to enhance technological advancement among faculty and administrators.
6. To develop, monitor and update the University catalog and ensure that it is published on or before the deadline.
7. To advise, motivate and encourage First Year/Full Time Freshmen COHORT.
8. Provide a mechanism to contact and encourage the 2001 Freshmen COHORT to complete their degrees on or before May, 2007. Have monthly meetings with all students in that COHORT to create a forum for them to share their ideas, express their concerns and together to help them solve their problems.
9. Provide the leadership revising and updating the Faculty Handbook ensuring that all information is correct and current.
10. Provide the leadership and get information from all academic units, design and structure an Annual Report that will reflect the academic excellence of Southern University at New Orleans.
11. Organize and chair the committee to ensure that relevant topics are discussed where there will be an opportunity for the faculty and administration to gain current knowledge and continue to grow at each University Conference each semester.
12. Provide the leadership, organize and chair the committee to ensure that the University Commencement flows very smoothly and reflects the excellence of the University at every level.
13. Provide the leadership for the Faculty awards luncheon.
14. Provide the leadership for the student academic award presentation at the end of the academic year, and
15. Any other responsibility that is deemed necessary by the Administration.

#### **2.5.4 Vice Chancellor for Administration and Finance**

Matters relative to financial and budgetary operations of the campus, as well as the physical plant, property and grounds of the campus and personnel are handled by the Office of Administrative Affairs. This office coordinates all activities related to finance: accounting, financial reports, payrolls and internal auditing procedures. Headed by the Vice Chancellor for Administration and Finance, this unit supports the University's educational program through general, personnel, communication and clerical services and operation of the physical plant and facilities.

The Vice Chancellor for Administration and Finance is responsible for supervising the administration of the Offices of Classified Personnel, Central Stores & Property, Maintenance, Purchasing and General Services; providing budget information to the System Vice President for Finance and Business Affairs; submitting an annual budget to the Chancellor; and making recommendations regarding the execution of the budget once it has been approved. The Vice Chancellor for Administration and Finance has the support of an Associate Vice Chancellor, an Assistant to the Chancellor and a Comptroller.

**Comptroller.** The Comptroller is the chief fiscal officer. He/she maintains contact with Finance Officers of the Southern University System and is responsible for all Accounts and Payable activities for the University in accordance with established policies and procedures (Federal, State, City, Southern University System and Local). The Comptroller also assists the formulation of major fiscal policies and procedures affecting the operation of the New Orleans Campus and has responsibility for preparing and maintain accurate up-to-date accounting records on all income, expenditures and disbursement for all accounts at the University; collecting and safeguarding all funds owed to the University; assuring accurate up-to-date procedures in opening and closing of books and in accounting for all grant activities.

#### **2.5.5 Vice Chancellor for Student Affairs**

The Division for Student Affairs provides students with quality support services that complement and enhance the academic mission of the University. It functions as a system of programs and services that span the breadth of the University's operation, serving as the integrating and unifying force in the college-life environment. This includes the counseling center, health services, student organizations and activities (including co- and extra-curricular programs, student government, and student publications), student financial aid, career and placement services, and the University Center. Administered by a Vice Chancellor, Student Affairs is responsible for non-academic student related affairs and the supervision of the Office of Student Personnel Services. Administration of Student Personnel Services includes the centralization, coordination, direction, and staffing of these services and programs. Recommendations pertaining to budgets, employment, salaries, promotions and other associated issues are made to the Chancellor by the Vice Chancellor for Community Outreach and University Advancement.

### **2.5.6 Director of Internal Audit**

The Internal Auditor is responsible for the performance and supervision of activities involved in the internal audit function of the campus. This function entails conducting independent reviews of any activity or operation within the University for the purpose of examining and evaluating the effectiveness and efficiency of the activity or operation and to measure and evaluate the effectiveness of the existing financial and operational controls. In addition, the Internal Auditor will review programs for compliance with all applicable regulations of the University, State and/or Federal Government.

### **2.5.7 Assistants to the Chancellor**

Assistants to the Chancellor are aides-de-camp. Duties and responsibilities of assistants range from managing the Office of the Chancellor in many campus situation, including, but not limited to preparing reports for correspondence to external agencies, interpreting University policy in the absence of the Chancellor, researching and compiling data needed for certain reports to system offices, and advising the chancellor on any and all matters as required.

### **2.5.8 Vice Chancellor for Community Outreach and University Advancement**

The Office of Community Outreach/University Advancement serves to communicate activities, events and programs of the university to the university community and external publics. It is the fundraising arm of the university, which plans, coordinates and implements activities of the university, primarily through the foundation. Public service projects and activities of mutual benefit to the campus and the community are promoted through collaborative partnerships. Finally, the Office encourages the support of alumni through advocacy and goodwill.

The area includes responsibility for community outreach, public relations, alumni affairs and fundraising.

### **2.5.9 Director of the Center for Planning, Research and Evaluation**

The Director of the Center for Planning, Research and Evaluation is responsible for the oversight and supervision of the coordination, implementation, and evaluation of the comprehensive program of planning, research, and evaluation, including data collection, analysis, interpretation and reporting; works closely with academic and student affairs in developing or selecting instruments to collect data for analysis of student learning outcomes and student opinions of the educational environment; advises and consults with administrative units in evaluating their processes; consults with administration to collect data to assess university wide goals and objectives in carrying out the ongoing evaluation of the University so that its curriculum, pedagogy, programs and services can be viewed over time. The Director develops and implements programs to strengthen institutional decision-making, to enhance and to document institutional effectiveness, student achievement and satisfaction. The Director acts as liaison between the administration and faculty in carrying out all aspects of evaluation and documentation of institutional effectiveness.

### **2.5.10 Director of Athletics**

The Director of Athletics is the chief administrator of the athletics department and the intercollegiate athletics program of the University. The Director manages all athletics department budgets and any other funds that pertain to the athletics program; assures that all athletics department personnel govern themselves by the highest standards of ethics and sportsmanship; meets with key University administrators as a member of the Administrative Council; manages the physical facilities of the intercollegiate athletics program; coordinates the education program for all athletics department personnel regarding the National Association of Intercollegiate Athletics, Gulf Coast Athletic Conferences rules and regulations; and prepares reports for the governing board, faculty, students, alumni and other supporters of the activities of the athletics department and intercollegiate athletics program. The Director of Athletics has the assistance of coaches and assistant coaches.

### **2.5.11 Dean of School of Graduate Studies**

The Dean of Graduate Program works very closely with deans and department heads of academic units which offer graduate education to provide general leadership for graduate programs. Other responsibilities include:

1. Encouraging maximum participation of faculty and students in professional activities and community affairs
2. Representing graduate programs interests through membership on the Council of Deans, the Chancellor's Administrative Council, and other university committees.
3. Working with the Graduate Council to develop policies for governing graduate school processes.
4. Serving as Secretary on the Graduate Council.
5. Working collaboratively with deans to provide orientation programs for new directors and new faculty.
6. Providing assistance in curriculum and instruction, research, collaborative partnerships, and program development and expansion.
7. Insuring sufficient program support through sound fiscal planning and management.
8. Maintaining professorial responsibilities by teaching graduate courses or undergraduate courses in the appropriate college and discipline.

## **2.5.12 Schools and College Deans**

College Deans provide general leadership for the college by being model instructors and maintaining the respect of administrators, faculty, and students and working for genuine unity, harmony, and a high esprit de corps within the college. Other expectations and responsibilities include:

1. Assuming leadership in seeing that the entire program of the college is advanced to the highest possible level of excellence.
2. Insuring the participation of department chairs faculty and students in decisions which affect them.
3. Encouraging maximum participation of faculty and students in professional activities.
4. Encouraging maximum participation of faculty and students in community affairs.
5. Representing the college in the formation of university policy and giving leadership to the implementation of university policy that affects the college.
6. Interpreting rules, regulations, policies and procedures to Members of the college; reviewing beforehand with the Vice Chancellor for Academic Affairs problems involving clarification and/or differences of opinion.
7. Providing orientation programs for department chairs for the interpretation and execution of university policies and procedures.
8. Providing leadership for curriculum and instruction by:
  - a. Ensuring a continuous program of curriculum evaluation and improvement.
  - b. Ensuring that the department heads requisition books, materials and equipment needed to implement the instructional program.
  - c. Scheduling classes and make teaching assignments to cover the normal workday, i.e., including day and evening classes.
9. Providing leadership in faculty affairs by:
  - a. Advising in the selection, evaluation, retention and/or dismissal of faculty members.
  - b. Promoting the professional growth of department chairs.
  - c. Evaluating each department chairs in the college as to his/her administrative and teaching effectiveness.
10. Administering the college by:
  - a. Insuring that each department chair submits and administers a budget.
  - b. Supervising and evaluating the college's clerical personnel and controlling the college supplies and equipment.
  - c. Presiding at monthly college meetings.
  - d. Meeting monthly with department chairpersons, individually or collectively.

11. Coordinating, collecting and submitting to the VCAA department and submitting data and information on:
  - a. Teaching load forms and office hours.
  - b. Summer faculty recommendations.
  - c. Guest lecturers.
  - d. Monthly minutes
  - e. All other reports requested for by the Vice Chancellor for Academic Affairs.
12. Providing leadership in student development by:
  - a. Insuring academic advisement for all students.
  - b. Giving advice and/or assistance to individual students on grievances and other matters whenever requested or deemed essential to the administration of sound educational practice.
13. Providing leadership in research and planning by:
  - a. Encouraging and participating in developing long range goals and objectives for the college planning programs for the achievement of these goals and objectives.
  - b. Making available routine statistical and research data to the Office of Institutional Research.

#### **2.5.13 Director of General Studies Program**

The Director is responsible for assessing the records of students entering the General Studies Program; participating in the development of projections of enrollment and estimates of future needs for instructional resources; working with departments, colleges; the Registrar, Institutional Research, and others to encourage development of a schedule of classes appropriate to anticipated demands; advising and assisting students in registration and graduation procedures and preparing reports as required.

#### **2.5.14 Department Chairpersons**

Department Chairpersons provide general leadership for the department by being model instructors and maintaining the respect of administrators, faculty, and students and working for genuine unity, harmony, and a high esprit de corps within the college. Other expectations and responsibilities include:

1. Working for genuine unity, harmony, and high esprit de corps within the department.
2. Assuming leadership in seeing that the entire program of the department is advanced to the highest possible level of excellence.
3. Ensuring that the participation of departmental faculty and students in decisions which affect them.
4. Providing for the dissemination of information to departmental faculty and students.

5. Encouraging (by example) faculty members to participate in professional activities.
6. Encouraging (by example) maximum participation of departmental faculty and students in community affairs.
7. Representing the department in the formation of university policy and giving leadership to implementation of university policy affecting the department.
8. Interpreting rules, regulations, policies and procedures to members of the department after reviewing with the college dean problems involving clarification and/or differences of opinion.
9. Providing orientation programs for departmental faculty for the interpretation and execution of department and/or university policies.
10. Providing leadership for curriculum and instruction by:
  - a. Ensuring a continuous program of curriculum evaluation, improvement and instruction.
  - b. Ensuring a continuous program for improvement of instruction.
  - c. Ensuring that the departmental faculty requisition books, materials, and equipment needed to implement the instructional program.
  - d. Encouraging innovations in teaching where they have been determined to be in the best interest of the students and the University.
  - e. Scheduling classes and make teaching assignments to cover the normal workday, i.e., including day and evening classes.
11. Providing leadership in faculty affairs by:
  - a. Advising in the selection, evaluation, retention and/or dismissal of faculty members and making recommendations to the college dean.
  - b. Promoting the professional growth of departmental faculty through graduate and post-graduate study, in-service workshops, and individual programs of research.
  - c. Evaluating each faculty member's teaching performance annually and submitting the evaluations to the Vice Chancellor for Academic Affairs.
  - d. Scheduling classes and teaching courses in cooperation with the college dean, the Associate Vice Chancellor for Academic Affairs, the Registrar, and with the departmental faculty.
12. Administering the department by:
  - a. Conducting the business of the department, such as writing and answering correspondence, making requisitions for various departmental financial functions, signing time and payroll sheets, supervising staff personnel, submitting book orders, and other matters necessary for the smooth functioning other department.
  - b. Scheduling and convening monthly and called meetings of the department for:
    - Handling matters needing the decisions of the entire faculty.
    - Considering and disseminating administrative directives.
    - Delineating pre-school departmental guidelines.
    - In-service workshops and speakers.

Planning the year's curricular activities.  
Discussing, planning and implementing new curricula.  
Ordering textbooks for all day and Evening and Weekend classes.

- c. Selecting departmental faculty to be members of departmental committees.
  - d. Preparing and submitting an annual budget.
  - e. Submitting an annual report to the college dean.
  - f. Assigning faculty members to work various periods during day and evening registration;
  - g. Attending all meetings of departmental chairpersons called by the college dean and/or by the Vice Chancellor for Academic Affairs and Chancellor.
  - h. Supervising and evaluating the department's clerical personnel and controlling supplies and equipment.
  - i. Developing a rotational summer teaching schedule in cooperation with departmental faculty.
  - j. Working with Evening and Weekend College dean in scheduling and staffing of classes at night and on weekends.
13. Providing leadership in student development by:
- a. Ensuring sound academic advisement for all day and evening majors in the department.
  - b. Working with seniors in job placement and graduate study.
14. Providing leadership in research and planning by.
- a. Encouraging and participating in developing the long-range goals and objectives of the department and planning programs for the achievement of those goals and objectives.
  - b. Making available routine statistical and research data to the Office of Institutional Research.
  - c. Developing and encouraging research in the discipline by submitting research proposals.

#### **2.5.15 Program Director/Coordinator (Academic Programs)**

Program Directors/Coordinators administer individual units within a department. They are responsible to the department chair. The duties of the program directors/coordinators are to work with the department chair to coordinate class schedules, teaching loads, monitor and evaluate the effectiveness of the unit, initiate requests for curriculum changes, and work with faculty on student advisement.

### **2.5.16 Library Director**

The Library Director is responsible for formulating and administering library policies, rules and regulations and its budget. Other responsibilities include the following:

1. Interpreting objectives of the university as they affect the library.
2. Investigating and solving problems related to the administration of the library.
3. Planning and initiating new library procedures and programs.
4. Establishing and supervising work programs and schedules.
5. Establishing personnel policies.
6. Presiding over staff meetings.
7. Keeping abreast of new devices, supplies and equipment connected with the operation of the library.
8. Participating in campus meetings to keep aware of the overall activities of the entire University that will have some effect on the library.
9. Establishing departmental and/or divisional organization within the library.
10. Preparing an annual report.
11. Preparing statistical reports for the state and the federal government when necessary.
12. Recommending to the Vice Chancellor of Academic Affairs and/or Chancellor the appointment of staff members, promotions, transfers, and salaries.

### **2.5.17 Registrar**

The Registrar is responsible for the implementation of admissions policies and procedures; and preparing, certifying and maintaining academic records of students. Other responsibilities include the following:

1. Preparing and distributing student grade reports.
2. Issuing official transcripts.
3. Verifying student enrollment.
4. Scheduling all final examinations.

5. Preparing an annual report.
6. Supervising the Assistant Directors of Admissions, Records, Recruitment, and Retention.

### **2.5.18 Director of Admissions, Recruitment & Retention (Undergraduate)**

Reports to: Enrollment Services

Major duties and responsibilities:

- A. Supervise and coordinate activities in accordance with University policies and procedures to admit students to the University.
- B. Supervise the timely admissions and correspondence to first-time freshmen, transferring, returning, summer-only, certifying, special, and other students who are eligible to enroll.
- C. Determine the residency status for international and out-of-state students.
- D. Supervise the timely evaluation of high school and transfer transcripts to support eligibility for financial aid and proper academic advisement.
- E. Communicate, coordinate, and collaborate with the Director of Students Financial Aid to continually provide accurate information and services to students.
- F. Establish and manage procedures for effective records maintenance, timely data input and current suspended files. Ensure the timely computer data input and correspondence to students to facilitate enrollment.
- G. Train, develops, and evaluates staff for effective program management.
- H. Prepare and submit correspondences, announcements, bulletins, and other documents to guide students through the admissions process.
- I. Coordinate with the Retention Financial Aid Liaison to provide accurate financial aid information to students.
- J. Provide written and verbal presentation to faculty, staff, and students when required.
- K. Prepare and maintain admissions enrollment reports.
- L. Acts in the absence of the enrollment manager.
- M. Implement projects and perform other duties assigned by the Enrollment Manager.

### **2.5.19 Director of Admissions (Graduate)**

- A. Plan for and oversee the recruitment, admission and retention of Graduate Students.
- B. Review and process graduate applications.
- C. Process graduation applications.
- D. Plan recruiting activities along with the Recruiter and other personnel with emphasis on other race recruitment.
- E. Establish innovative retention programs for Graduate Students.
- F. Develop recruitment literature and brochure.
- G. Responding to inquiries about programs and admissions requirements.
- H. Prepare scheduled and ad-hoc reports
- I. Work with the recruiter to develop a recruitment calendar and prospective student database.
- J. Other administrative duties as may be assigned by the Dean.

### **2.5.20 Executive Director of Enrollment Services**

The Executive Director of Enrollment Management is responsible for: supervising the Directors of Admissions and Retention; assisting in the implementation of programs relating to admissions, retention and enrollment; collaborating with departments, colleges, schools, and administrative units regarding enrollment; researching, and reporting the impact of policies and procedures on university enrollment, and submitting annual Enrollment Management Reports.

### **2.5.21 Director of Title III**

The Program Director for Title III is responsible for the overall coordination and administration of the Title III Program and provides the impetus and direction for each of the components. Some of the major duties include coordinating, preparing and submitting the Title III Proposal, Continuation Application and Reports; preparing, negotiating, monitoring and approving all Title III budgets; supervising the programmatic and fiscal operation of each Title III component; serving as liaison between the Department of Education and the University; adhering to requests of the Department of Education and the University administration in a timely manner; and keeping the University Chancellor, Administration and Title III personnel abreast of and compliance with rules, regulations, and policies of the funding agency and the University.

### **2.5.22 Director of the Information Technology Center**

The Director of the Information Technology Center directs the management of information systems for the University. The Director manages and approves the selection, purchase and installation of computing equipment; directed the development of short- and long-range goals, plans, and policies; coordinated faculty, staff and student training for the Center; directed the development of budget recommendations for technology purchases, personnel services and major expenditures; meets with administrators, users, vendors and supervisory personnel to discuss and resolve operational problems, and administrative issues and supervises Center staff and student interns. The Director has the services of an assistant director, technicians, programmers, operators, and other specialists.

### **2.5.23 Director of Safety and Transportation**

The Director of Safety and Transportation has administrative responsibilities and duties for developing and organizing campus-wide safety programs, making and having inspections made of University property and procedures associated with handling of property and goods; coordinating safety efforts; soliciting and preparing reports of hazardous conditions and taking corrective actions; negotiating follow-up action as needed on all reports filed; serving as Fleet Maintenance Director for the University; and coordinating parking administration.

## **CHAPTER III Councils, Committees, and Organizations**

Many aspects of the University's operations are conducted by or with the advice of councils, committees, and other organizations. Below are listed the councils, standing committees, and faculty organizations together with their functions, terms of membership, and the appointing authorities, where appropriate. Participation on these bodies can serve as points of merit for retention, tenure, promotion and other professional rewards.

### **3.1 System-wide Advisory Councils**

In our quest to continue to communicate effectively across the System on matters of high significance; several advisory councils to the President were created. The creation of the advisory councils allows the President, via the relevant System office, to put a structure in place to further enhance the liaison relationship between the President's Office and the campuses. The Advisory Councils will communicate to and advise the System's office on the views, concerns and strengths of faculties, staff, and students on each campus regarding policies, procedures and issues that need to be visited by the System.

The advisory councils created are as follows:

- § System Advisory Council for Academic Affairs
- § System Advisory Council of Planning and Institutional Research
- § System Advisory Council for Student Affairs
- § System Advisory Council on Teacher Preparation
- § System Advisory Council for Financial and Business Affairs
- § System Advisory Council for Human Resources
- § System Advisory Council for Public Affairs
- § System Advisory Council for Technology and Network Services

### **3.2 Councils**

Every faculty member should be given the opportunity to serve on councils and standing committees on each campus. Faculty participation shall be solicited by the Office of Academic Affairs during each fall semester. Each faculty member should be limited to serving on no more than two (2) councils and committees concurrently, except in specific situations (i.e., the need for that faculty member's expertise.)

The Vice Chancellor for Academic Affairs of each campus will request the Faculty Senate President to provide at least one name of a faculty member to represent the Faculty Senate on each council, committee and organization. In the case of SUAREC and SULC, the Chancellor may request input from his/her leadership team for appointments of individuals to serve on councils/committees, where faculty memberships are deemed necessary by the Chancellor.

### **3.2.1 The Academic Council**

The Deans and Directors of colleges, schools or divisions, together with other academic officers of equivalent rank responsible to the chief academic officer, constitute the Academic Council.

The Academic Council advises the chief academic officer in the administration of the academic affairs of the campus, including curriculum development, program scheduling, preparation of the academic calendar, coordination of programs of various colleges and schools, review of instructional programs and special university regulations for degrees.

The Council meets at least once each semester at the call of the chief academic officers who serves as chairpersons.

### **3.2.2 The Graduate Council**

The Graduate Council shall consist of ten members of the graduate faculty named by the chancellor on joint recommendations of the graduate dean and the chief academic officer of the campus for overlapping three-year terms. Nominations for membership on the Council shall be made by the academic deans of colleges or schools offering graduate programs. There shall be an additional member from the professional library staff nominated by the dean of libraries and appointed in the same manner as other members for a three-year term. The dean of the graduate school shall serve as an ex-officio member and secretary of the Graduate Council.

The Graduate Council shall serve as the policymaking body for the entire graduate program of the campus. It shall be concerned with policies governing academic standards, program development and review, faculty qualifications, and the consistency and integrity with which the entire graduate program is operated.

Officers of the Graduate Council shall be a chairperson, vice-chairperson, and secretary. The Council shall elect its chairperson and vice-chairperson who shall serve terms of two years.

The Graduate Council shall meet at the call of the chairperson of the Council. The Council shall meet at least three times per academic year with written notice and agenda sent in adequate time to each member of the Council.

### **3.2.3 The Teacher Education Council**

The Teacher Education Council shall consist of representatives from all areas of the campus which contribute to the teacher preparation program. It shall be the responsibility of the Chancellor, in consultation with the chief academic officer, to determine the number, term and manner of appointment of the membership. The dean of the college of education shall serve as an ex-officio member and secretary of the Teacher Education Council.

Officers of the Council shall be a chairperson, vice-chairperson, and secretary. The Council shall elect its chairperson and vice-chairperson who shall serve terms of two years. A consecutive two-year term shall not be served.

The Teacher Education Council shall be familiar with standards of accrediting agencies and the applicable statutes of Louisiana. It is the Council's responsibility to formulate and propose campus policy and procedures to maintain a balance between professional preparation, general cultural attainment, and mastery of the subject content field in each curriculum in teacher education. All policies offered by the Council are subject to the approval of the campus administration, the President of the Southern University System and the Board of Supervisors.

The Council shall meet at least once per semester at the call of the chairperson. Minutes shall be kept of all meetings and transmitted to the chief academic officer of the campus. Should the Council fail to meet, such failure shall be called to the attention of the chief academic officer by the secretary.

### **3.2.4 The Athletics Council**

The Athletics Council recommends to the chancellor policies relating to intercollegiate athletics. More specifically, duties to be carried out by the Council shall include, but shall not be limited to, the following activities:

1. Determining the scope of the athletics program;
2. Assuring that student athletes are provided an adequate opportunity to pursue successfully their athletic programs;
3. Advising the Chancellor on the appointment of the athletics director and head coaches in the various sports;
4. Reviewing recommendations coming from the athletics director concerning the athletic programs; and
5. Reviewing the financial affairs of the athletics department. The membership of this Council consists of representatives from the administration, the faculty, the staff, the students, and the alumni. Representatives from the administration, faculty, and staff shall constitute a majority of the membership. The Council elects its own chairperson from among the faculty members. The Chancellor appoints the majority of the voting members of the Council. Representatives from the Student Government Association, the Faculty Senate, Staff and alumni serve with the chancellor's approval.

### **3.2.5 The University College Council**

The University College Council advises the Associate Vice Chancellor of University College on the policies and administration of the college's academic program. The Council members are appointed by the Vice Chancellor for Academic Affairs upon the recommendation of the Associate Vice Chancellor of the University College, with the approval of the Chancellor. The membership consists of faculty members representing the degree-granting colleges and schools, three students, and the Associate Vice Chancellor of University College.

### **3.2.6 The Faculty Advisory Council**

The Faculty Advisory Council, whose members are recommended by the college/school deans and selected at-large by the Vice Chancellor for Academic Affairs, with the approval of the Chancellor, advises the vice chancellor on all matters related to faculty and academic affairs.

### **3.2.7 College, School or Division Councils**

Each college, school, or division council includes the academic dean or division chairperson as presiding officer, the chairpersons of the departments within the college, school or division, one faculty member from each department, and two students from each department.

One of the Faculty Senate representatives from each college, school, or division may be appointed by the Senate to serve in an ex-officio capacity on the Council.

Each college, school, or division council examines and recommends policies to the dean or division chairperson and to the college, school, or division faculty on matters pertaining to program development, personnel development and student relations. The Council meets at least once per semester. The meetings are called by the dean of the college/school or division chairperson.

### **3.2.8 Departmental Councils**

The council will elect as its chair someone other than the departmental chair who is someone other than the departmental chair. Both faculty and student representation will serve on the Council. Student representatives should not be involved in faculty disputes. The Departmental Council reviews and makes recommendations on such matters as departmental academic policies, faculty-student relations, equipment, and budgetary priorities. The Departmental Council will meet at least once during each semester, at the call of the chairperson of the department.

## **3.3 Standing Academic Committees**

The standing committees are listed below together with a brief statement of their responsibilities. The term "academic committees" refers to those committees that are appointed by the Vice Chancellor for Academic Affairs, with the approval of the Chancellor. Other standing committees are listed in the University Catalog. The term of office for all committee members is two years. Campuses may also appoint other committees as deemed necessary by the administration.

- A. The Academic Honors Committee recommends all classifications of academic honors and identifies and recommends persons who are to receive these honors.

- B. The Catalog Committee prepares the University Catalog for publication every two years.
- C. The Curriculum and Instruction Committee keeps abreast of curriculum and pedagogical trends and recommends changes and innovations.
- D. The Committee on Performance Evaluation of Academic Personnel establishes and recommends effective methods, policies, and procedures for evaluations under the supervision of the vice chancellor. (additional research is being done to determine if this committee's charge is correct)
- E. The Self-Study Steering Committee serves as liaison between the University and the Southern Association of Colleges and Schools and conducts the institutional self-study for SACS accreditation.
- F. The Academic Appeals Committee hears appeals by students who have been suspended for academic reasons and makes recommendations concerning the academic status of such students.
- G. The Commencement Committee designs the graduate exercises, executes the activities which support these exercises, and prepares and supervises the printing of the commencement program.
- H. The Library Committee (1) advises the dean of libraries on policies governing the operation of the University libraries; and (2) serves as liaison between the main library and the faculty in ensuring that the library serves the needs of the University with regard to the adequacy of the collection and the rendering of appropriate services.
- I. The Student Advisement Committee promotes effective student advisement, monitors and evaluates existing student advisement practices, and recommends changes in existing practices.
- J. The Committee on the Status of Women makes recommendations and helps implement projects which may serve to improve the status and education of women.
- K. The Strategic Planning Committee for Academic Affairs prepares and updates the Strategic Plan for Academic Affairs, and recommends and assesses strategic goals and objectives.
- L. The Retention, Tenure and Promotion Appeals Committee deliberates on appeals from faculty members and recommends to the Vice Chancellor for Academic Affairs whether or not the faculty members' appeals are valid.

- M. The Faculty Handbook Committee will review the Faculty Handbook biennially and recommend revisions, additions, or deletions to the Vice Chancellor for Academic Affairs.
  
- N. The Academic Responsibility, Rights and Ethics Committee deliberates on issues concerning faculty conduct, academic freedom and faculty grievances. Therefore, it shall be expected to do the following: (1) make recommendations to the chancellor on policy review regarding ethics, academic responsibility and privilege; (2) make recommendations to the chancellor regarding needed revisions of the Faculty Handbook; and (3) make recommendations to the chancellor in matters regarding academic freedom, complaints against faculty, and faculty grievances.

## **CHAPTER IV Faculty Personnel Policies and Procedures**

### **4.1 Definition of Faculty**

The faculty is a primary entity within the University structure. The faculty is responsible for ensuring that the integrity of academic programs is maintained and for designing, developing and implementing academic programs.

Faculty and other academic staffs are classified as academic employees. Teaching and non-teaching faculty are full-time members of the instructional staff, as well as, library staff with the rank of instructor or above. Other academic staff includes professional personnel such as those involved in research and grants that have academic responsibilities but do not have academic rank. Refer to **Bylaws and Regulations, Part III, Chapter 1, Sections 1-2.4.A and 1-2.5.B; Chapter II, Section 2.1.A.1b.**

Members of the teaching faculty must meet established criteria for academic and professional preparation criteria for employment. Academic preparation at the doctoral level is preferable for most disciplines. However, each full-time faculty member teaching credit courses leading toward the baccalaureate degree is required to have at least eighteen (18) graduate semester hours in the teaching discipline and hold at least a master's degree, or hold a master's degree with a major in the teaching discipline. In some disciplines, the master's degree in the discipline may be considered the terminal degree, such as the M.F.A., the M.S.W., and the M.L.S.; in others, a master's degree in the discipline, coupled with a doctoral degree in a related discipline, is considered appropriate. In exceptional cases, outstanding professional experience and demonstrated contributions to the teaching discipline may be considered in lieu of formal academic preparation (**SACS, Criteria for Accreditation, 4.8.2.2; SACS, Principles of Accreditation, 3.7.1**).

### **4.2 Academic Ranks**

The membership of the faculty on each campus includes those members of the academic staff having the rank of instructor or higher or equivalent rank, including the Chancellor, academic officers, and full-time and part-time instructors. The academic ranks of professor, associate professor, assistant professor, and instructor are recognized for both full- and part-time employees. The title of professor may be modified to indicate particular distinction as approved by the Board of Supervisors (**By laws and Regulations, Part III, Chapter II, Section 2-6**).

Faculty members are appointed to academic departments and colleges/schools. The duties of the faculty include having a major role in establishing curricula, fixing standards of instruction, determining requirements for degrees, and generally formulating education policy. In addition, the faculty makes recommendations for the granting of degrees.

## 4.3 Academic Appointments

### 4.3.1 Categories of Faculty Appointment

**Temporary** Any full-time faculty appointment that is for a specified and limited period and does not lead to consideration for tenure is considered a temporary appointment. Substitute teachers for emergency situations or for teachers on leave, artists-in-residence, or persons from business or industry who teach a limited number of courses for a limited time are on temporary appointment. Faculty members who are appointed at the rank of Instructor are also designated as temporary appointees to meet a short-term need, which appointment should not exceed two years, unless otherwise dictated by circumstances. **(Bylaws and Regulations, Part III, Chapter II, Section 2-8.A.1.)**

**Probationary** Initial faculty appointments at the Assistant Professor, Associate Professor, and Professor rank are typically on a probationary basis. Such appointments ordinarily lead to consideration for tenure. The initial written notice of appointment must specify whether the appointment is on a probationary (tenure-track) basis. A probationary appointment shall not exceed a period of seven years, including the period served at the rank of instructor, except as provided by Board policy. If the Board decides to grant credit toward the probationary period for prior service at other institutions, then inclusion of the credited years shall be made at the time of the initial appointment. **(Bylaws and Regulations, Part III, Chapter II, Section 2-8.A.2.)**

**Tenured** Tenured appointments are given to faculty members who have met the requirements of tenure outlined in Section 4.7, 4.9, and 4.10 below. Tenure, however, is not a guarantee of lifetime employment. It does assure that the employee will not be dismissed without adequate justification and without due process. **(Bylaws and Regulations, Part III, Chapter II, Section 2-8.A.3.)**

Faculty members appointed to a probationary rank after serving a minimum of five years of continuous service in a non-probationary, full-time rank at Southern University, shall be eligible for tenure after serving a probationary period of at least two years, but not more than four years. **(Bylaws and Regulations, Part III, Chapter II, Section 2-9.B.8)**

**Professor Emeritus** The Board, at its discretion, may elect to confer the title of professor emeritus on persons with academic rank who, upon retirement from the University, have attained the rank of professor and who have made outstanding contributions to the University.

The President, with the assistance of the Chancellors, shall appoint a system-wide committee to formulate system-wide procedures and criteria for conferring of the title of professor emeritus.

If feasible, the holder may be granted such amenities as office space, secretarial services and research facilities. The holder will be granted use of the library, free passes to cultural events, free parking privileges, and consideration for appointment to University advisory councils and committees. **(Bylaws and Regulations, Part III, Chapter IV, Section 4-6.)**

**Part-time** A temporary appointment to an academic department is made to handle the teaching of one or more courses, with expectation that the appointee may contribute to the campus in terms of committee assignments and/or administrative task. No fringe benefits are accorded to part-time faculty; however, if space is available, an office is provided.

**Adjunct** A part-time, semester appointment made through the Evening and Weekend College/or the equivalent, to staff a course, usually offered during the evening and/or on the weekend, as well as on-sites courses in the community and/or distance learning sites. This designation is used for persons employed from outside the Southern University System who participate and contribute to research or instructional activities on one of the campuses. The title of professor may be modified to indicate particular distinction as approved by the Board. (Bylaws and Regulations, Part III, Chapter II, Section 2-6)

**Unpaid Adjunct Faculty** These are faculty members who receive no direct compensation from the University. Such persons may be provided benefits such as library privileges and access to other designated University services.

#### **4.3.2 Recruitment and Hiring Policies**

The Southern University Board of Supervisors in compliance with Title VI of the Civil Rights Act of 1964 and Title IX of the Education Act of 1972 reaffirms its present policy that all admissions criteria, services, programs and employment under the legal control of the Board shall be maintained on a non-discriminatory basis, without regard to sex, race, color, creed, religion, disability or ethnic background at all times.

All Position Vacancy Announcements must adhere to the following approval and distribution procedure:

1. After the Position Vacancy Authorization has been approved, the Position Vacancy Announcement to be disseminated must first be submitted to the appropriate Vice Chancellor for approval. The Vice Chancellor will transmit the approved announcement to the Office of Human Resources/Personnel.
2. The Director of the Office of Human Resources/Personnel will review and approve the announcement to assure that it is in conformity with EEOC mandates, other regulatory agency guidelines, and system and university policies.
3. The Office of Human Resources/Personnel will disseminate all approved Position Vacancy Announcements on campus, and to other colleges and universities in the State. The unit advertising the vacancy will send announcements to local, regional and national publications for posting.

### 4.3.3 Appointment Procedures

#### Full-time Faculty

Requests for filling vacancies and new positions shall emanate from the concerned department, with the chair of the department directing a communication to the immediate supervisor, the college dean. The college dean shall make recommendations on the request to the Vice Chancellor for Academic Affairs. Once the need to fill a vacancy or the need for an addition to the faculty has been clearly demonstrated, the Vice Chancellor for Academic Affairs shall make the request to the Chancellor. After authorization to fill the vacancy has been obtained from appropriate campus officials, the procedure shall be as follows:

1. The chairperson of the concerned department shall prepare a description of the position to be filled and complete the appropriate forms to initiate the process. This description should include the qualifications which the candidate must possess, duties which the candidate is expected to fulfill, rank which the position commands, and tenure status. After being reviewed and approved by the respective dean, the description is forwarded to the Vice Chancellor for Academic Affairs and the Office of Human Resources to be advertised in appropriate external channels to insure as broad a pool of qualified candidates as possible.
2. The chairperson and members of a search committee shall be appointed by the Vice Chancellor for Academic Affairs in consultation with the appropriate departmental faculty, departmental chairperson, and college dean or unit head and with the approval of the Chancellor.
3. Assessment of applicants is made by a committee composed of faculty and majors of the concerned department, other faculty, and/or appropriate administrative officers.
4. Positions of dean, director or equivalent and above must receive approval from the Board. After a thorough discussion of the credentials and assessment statements with committee members, the Chairperson of the Search Committee, on behalf of the committee, shall recommend to the Vice Chancellor for Academic Affairs not less than three persons (without ranking) to fill the position. Provided the recommendation receives approval at this level, it will be forwarded to the Chancellor for action. If the Chancellor approves the recommendation, the appointment shall be made subject to the approval of the President and the Board of Supervisors. Upon approval by the Board, the Chancellor shall issue a letter of appointment to the appointee setting forth the terms and conditions of the appointment. For further information refer by **Bylaws and Regulations, Part III, Chapter II and Policies and Procedures.**

#### Part-time Faculty

A part-time faculty member is one whose appointment is less than 100 percent and whose appointment is made through a department rather than Evening and Weekend College. Such appointments may be for one semester or one year and are stipulated in letters of appointment. Compensation for part-time faculty members is determined by the dean of the College/School and departmental chairperson in consultation with the Vice Chancellor for Academic Affairs,

with approval of the Chancellor. During the term of appointment, part-time faculty members enjoy library privileges and the use of parking and other University facilities in accordance with University practice and policy governing such use by faculty.

Part-time faculty members teaching courses for credit must meet the same requirements for professional, experiential, and scholarly preparation as full-time counterparts teaching in the same discipline. Chairpersons in the respective disciplines are responsible for orientation, supervision, and evaluation of all part-time faculties. Chairpersons shall make every attempt to ensure that part-time faculty is provided appropriate instructional support and office space as appropriate for them to carry out their academic responsibilities during the term of appointment.

Faculty employed to staff courses offered in the evening or on weekends are employed as adjunct faculty with a one-term contract. Faculty employed for teaching in the Evening and Weekend College must have completed at least 18 hours in the teaching discipline and hold at least a master's degree, or must hold at least the master's degree with a major in the teaching discipline. For their services, part-time/adjunct faculties are provided a stipend per course. The amount and pay periods are discussed during the initial interview/hiring process.

Adjunct/part-time faculty may come from industry, government, or other universities and are used by the University to take advantage of extensive practical experience that such persons bring to the institution. Very often, the practical experience is sufficient to make exceptions to standard academic credentials, subject to the approval of appropriate accrediting agencies. **(Bylaws and Regulations, Part III, Chapter II, Section 2-6)**

Adjunct/part-time appointees have the same responsibility for meeting classes, maintaining records and completing grade reports as full-time employees. While they may serve on committees and/or perform other university services, they are not required to do so. Part-time/adjunct faculty members are expected to attend orientation and other sessions provided for them. Part-time/adjunct/evening and weekend appointments do not carry academic rank, are for a limited time period and do not lead to tenure.

Recommendations for staffing evening and/or weekend courses are made by the faculty of each department via the department chair to the Dean of the Evening and Weekend College. The recommendations must be approved by the Vice Chancellor for Academic Affairs, the Chancellor and the President. Sufficient enrollment, as determined by the Chancellor or designee, must be obtained for classes to be taught.

### **Summer Appointments**

Summer employment is not guaranteed for faculty with a nine month or academic year appointment. Appointments to the faculty for the summer session will be made by the Chancellor, on recommendations made by departmental chairmen through their respective deans and the Office of Academic Affairs, on the basis of teaching requirements of the summer program. Summer appointments must be approved by the President of the Southern University System and the Board of Supervisors. Each department shall work out a plan for summer employment that is fair and equitable, considering the availability of funds, demand for courses, and professional experience and qualifications of departmental faculty members. Such plans

shall be subject to the approval of the appropriate dean, the chief academic officer and the Chancellor. Compensation for teaching a full load – nine (9) credit hours or fifteen (15) contact hours - during a summer session will normally be two-ninths of the nine months' salary unless otherwise approved by the Southern University Board of Supervisors. Compensation for teaching part-time shall be proportionately based on the credit hours or contact hours of the developed courses assigned. **(Bylaws and Regulations, Part III, Chapter II, Section 2-8.C)**

Day faculty members may not schedule Evening and Weekend classes as part of a regular load during the summer. Loads may be reduced due to enrollment and adjustments in compensation will be made accordingly. Full-time faculty who pick up evening and weekend classes will be compensated at the Evening and Weekend College rate.

Recommendations for staff positions are based upon sufficient enrollment, as determined by the Chancellor or designee, for the classes to materialize.

### **Appointments, Citizenship and Proficiency**

Any prospective employee of the University is required to provide proof of residence status before hiring takes place. All prospective faculty members/teaching assistants for whom English is not their native language must demonstrate English language proficiency.

### **Personnel Actions for Academic Employees**

All personnel actions about faculty and other members of the academic staff shall be initiated by the employee's supervisor after consultation with the appropriate faculty, including the concerned faculty member. Such actions shall be transmitted, through channels, to the President and shall be subject to confirmation by the Board. The recommendation shall include a statement as to any lack of agreement on the part of any administrative officer.

#### **Personnel Records**

Records accumulated in any administrative office of the University in connection with the recruitment and employments of faculty are held to be confidential. For faculty members, as for all employees, this includes letters of application, letters of recommendation in the individual's resume' packet, academic records, dossiers furnished by placement services, appointment letters, performance evaluations, records of promotion, salary, and correspondence with University officials and other faculty. Records held by investigative agencies are not part of the personnel file. Records of on-going grievance hearings are not a part of the personnel file until the relevant proceeding are completed.

Information that can be considered public includes only the following items: name, position title, department, rank, academic degrees held, institutions awarding those degrees, University phone numbers, home address and phone number (unless held confidential at the employee's request), date of employment at the University, tenure status, and any other information specifically authorized by the employee in writing.

The custodian of personnel records are the persons responsible for receiving the records. The Chancellor is the custodian of all personnel records held by the central administration of the

University. Personnel records for the faculty are housed in the Office of Academic Affairs. All leaves, health insurance, and retirement data pertaining to the faculty and other University employees are located in the Office of Human Resources/Personnel.

Custodians of files may give access to the files to any administrative office or University employee who must have access in order to carry out his/her duties. The information in the personnel files must be treated as confidential.

The personnel record of any faculty member or University employee can be made available to him/her upon written request and within a reasonable period of time (not more than five working days) to allow the custodian of the record to screen the file for confidential information.

#### **4.4 Academic Freedom**

Members of the academic community have the right to freely study, discuss, investigate, teach, conduct research, and publish freely as appropriate to their respective roles and responsibilities. Because the common good depends upon the free search for and exposition of truth and understanding, full freedom in research and publication is essential, as is the freedom to discuss scholarly subjects in the classroom. Faculty members have the right to speak, write, and participate in activities outside the University, but should always be mindful that these involvements do not lessen the faculty member's responsibility to the University. **(See Bylaws and Regulations, Article VIII, Section 1.)** The principle of academic freedom shall be recognized in all personnel actions about academic staff. **(See the Bylaws and Regulations, Part III, Chapter II, Section 2-5.)**

#### **4.5 Academic Responsibility and Expectations**

##### **4.5.1 Teaching Faculty Duties and Responsibilities**

##### **4.5.1.A Student-related responsibilities:**

- a. Dealing conscientiously with the teaching assignment. This includes carefully planning and preparing courses and lectures, meeting scheduled classes, clearly informing students of course requirements, and grading fairly.
- b. Recognizing that students deserve respect as individuals and have certain rights that must be protected. This encompasses an active interest in the academic and personal problems of students, the giving of mature professional advice, the courteous treatment of students in class, and the regard for confidential personal information about students which may come to the faculty members' attention in their role as counselors.
- c. Recognizing that faculty members should serve as a model and exercise great influence in shaping young minds. Thus, faculty must strive to set a high standard in academic and scholarly excellence, personal integrity and professional ethics.

- d. Recognizing that in the classroom role, faculty are morally bound not to take advantage of this position by repeatedly introducing into class discussions subject matter outside the scope of the course and not within their field of professional competence.

**4.5.1.B Professional-related responsibilities:**

- a. Keeping up to date with developing knowledge in their academic discipline through familiarity with recent publications and journals and participation in local, regional or national professional societies and meetings.
- b. Seeking ways of (1) improving effectiveness as a teacher, (2) exploring new ways of presenting academic subject matter, (3) motivating students, and (4) improving methods of evaluating student performance.
- c. Advancing knowledge in respective academic discipline through individual research, creative writing and analysis, and the presentation of papers at colloquia or professional meetings.
- d. Assisting colleagues in academic and other college activities including: contributing to curriculum studies at both the departmental and University levels; and participating in all departmental and University faculty meetings for the better operation and strengthening the educational program of the University.
- e. Exercising an active role in protecting and enhancing the academic and professional standards of the faculty by: assisting with recruitment of competent new faculty members; giving recommendations regarding promotion and/or tenure for competent faculty colleagues; and recommending the removal of colleagues who, after a fair hearing, have been proven incompetent, guilty of moral turpitude or gross misconduct, or lacking in personal or professional integrity.
- f. Demonstrating respect for the right of faculty members, students and administrators to hold divergent opinions.

**4.5.1.C University-related responsibilities:**

- a. Conscientiously fulfilling all the contractual obligations for the period of time agreed and that he/she will give the institution reasonable notice when resigning for any reason except personal emergency.
- b. Making conscientious use of the funds of the University entrusted such as those allocated to budgets of academic departments or special research projects.
- c. Making every effort to avoid professional and personal actions which may cause economic loss or legal or moral embarrassment to the institution.

- d. Avoiding use of University resources, equipment, or labor for personal gain in research or projects.
- e. Giving reasonable support to general University activities, participating as a faculty representative at meetings, convocations, commencement exercises, and honors day programs.
- f. Committing to a reasonable amount of service on University-wide committees.
- g. Indicating clearly that one does not speak as a representative of the University but as an independent citizen when making public statements of one's views.
- h. Participating in the Fall, Spring, and Summer registration of students.
- i. Participating in commencement exercises unless excused in the writing by the Vice Chancellor for Academic Affairs. It is the responsibility of each faculty member to provide academic regalia needed for commencement.

#### **4.5.2 Academic Advisement**

Faculty members act as advisors to student who major in their respective disciplines. All members of a department/program are required to become involved in student advising. An important aspect of advisement consists of assisting students in their selection of courses. Each campus shall develop a policy to determine the minimum numbers of office hours for their respective faculty.

Every department chairperson has the responsibility of establishing and maintaining an advisory program which must include acquainting faculty and students with the departmental and University requirements for graduation. Advisors must insist that students follow courses in sequence and repeat immediately any course(s) failed. Students must be advised that satisfactory academic progress must be maintained in order to receive financial aid. If during the advisement, it appears that some type of counseling is in need, the faculty member should refer the student to the appropriate support facility and/or service.

#### **4.5.3 Faculty Development**

The University provides opportunities for faculty to engage in doctoral and post-doctoral studies; attend and present papers at professional meeting, seminars, and conferences; and engage in independent research. In addition, consultants are brought to the campus. The System's Center for Excellence in Teaching and Learning shall provide faculty development opportunities to faculty members via workshops, seminars and professional meetings. The overall goal is to enrich and strengthen the professional development of the faculty and to promote and encourage teacher effectiveness.

## **4.6 Retention of Probationary Faculty**

Retention of probationary faculty shall be based on merit in accordance with established criteria, with the interest of the University being served maximally by such action. Possession of specified degrees and time spent in a department, while considered as factors in determining merit, shall not alone constitute justification for retaining a faculty member. Religion, national origin, race, sex, color, creed, disability or age shall not be factors in the evaluation of an application for retention. It is the responsibility of the faculty member to determine whether or not he or she is eligible for retention consideration.

### **4.6.1 Probationary Appointment**

Probationary appointments are for a specified period of time. When the initial appointment of a member of the faculty is probationary, such appointments ordinarily lead to consideration for tenure. There shall be an annual evaluation of a probationary faculty member to determine eligibility for retention and renewal of the appointment. The annual evaluation shall begin in the second year of the probationary appointment. In the sixth year, the evaluation of a probationary faculty member will determine his/her eligibility for the awarding of tenure.

#### **4.6.1.A Retention Procedure**

The applicant shall prepare a dossier that includes an updated résumé. All eligible faculty members are responsible for the completeness of all required items to be included in the dossier. Where required items are not provided, it is the responsibility of the faculty member to include a signed statement in the dossier indicating why such documentation is not included.

Applications for retention shall be submitted to the chairperson. A list of all materials contained in the dossier will be developed by the applicant to be signed by both the applicant and the chairperson. The chairperson shall certify the inclusion in the dossier of the materials on the list. Copies of the signed list will be made for the chairperson and the applicant and the original shall remain with the dossier.

#### **4.6.1.B Probationary Evaluation for Retention**

Each probationary faculty member's evaluation shall be initiated within his department by a date established by the department chair to determine if the faculty member is eligible for reappointment and the continued pursuit of tenure. In the event retention is denied to a faculty member, appropriate written notice of the non-renewal of the probationary appointment shall be given and the faculty member's appointment will terminate on the last work day of that academic year. The employment of a faculty member whose appointment is not recommended for renewal in the third through the fifth years of the probationary appointment will terminate on the last work day of the subsequent academic year. The written notice of non-renewal of a probationary appointment should be issued no later than March 1 of the first academic year of service, if the appointment expires at the end of that academic year; no later than December 15 of the second academic year if the appointment expires at the end of that academic year; at least twelve months before the expiration of an appointment after two or more years of service at the institution (**Bylaws and Regulations, Part III, Chapter II, Section 2-8.B.2**)

#### 4.6.1.C Levels of Review

Each probationary faculty member shall be evaluated and/or reviewed annually by the appointed committees and officials listed below for retention during the probationary period. In case of a negative recommendation at any level of the review process, a statement setting forth the reason(s) for disapproval must be attached to the retention application, and transmitted to the next level of authority. The applicant should receive written notice of the outcome at each evaluation phase. In addition, the applicant shall be provided the opportunity to submit a written response to a negative evaluation at any phase, which shall be taken into consideration at the next level of review. **The final appeal, if necessary, in the retention process shall be to the chancellor, provided his/her decision is in agreement with the recommendation of the RTP. Upon review of the appeal, the chancellor's decision shall serve as the final action if it agrees with the recommendation of the RTP; otherwise, the affected faculty member can appeal up to the President and subsequently to the Board of Supervisors.**

##### 1. Department Retention, Tenure and Promotion Committee Evaluation

a. Each probationary faculty member shall be evaluated by the Retention, Tenure and Promotion (RTP) Committee in his department or academic unit using the criteria published for this purpose.

b. Upon receipt of the applications, the department chairperson shall convene a departmental RTP committee to evaluate the prospective candidate and make recommendations to the chairperson for his review and recommendation. The department's RTP Committee shall be composed of the tenured faculty members from the academic unit who do not also serve on the RTP Committee for the College.

c. For small departments with insufficient tenured faculty to serve, tenured faculty members shall be drawn from other departments within the applicant's college. The committee, based on its evaluation, shall assign points to each of the criteria, and the total points accumulated shall be recorded on the appropriate form. Upon completion of the review, the chair of the RTP Committee shall notify the applicants of the results, in writing, and forward recommendations, in writing, along with all supporting documents to the departmental Chairperson on or before the date established by the department chair. Negative recommendations may be appealed to the department chair by the 10th work day following the receipt of the written notification.

##### 2. Department Chairperson's Review and Evaluation

a. The department chairperson shall receive the department RTP Committee's recommendation and, considering it, will conduct his/her evaluation of each probationary faculty member.

b. The chairperson will make his/her recommendation based on his/her review of all supporting documents. Upon completion of the review, the Chairperson shall notify the applicants of the results, in writing.

c. The application and all supporting documents, together with evaluations and recommendations of the department committee and the chairperson, shall then be submitted by **October 15th** to the dean of the appropriate college or division for the College/School RTP Committee's evaluation and recommendations. Negative recommendations by the department chairperson may be appealed to the College/School RTP Committee, via the dean by the 10th work day following the receipt of the written notification.

### 3. College/School Retention, Tenure and Promotion Committee Evaluation

a. The dean shall forward all recommendations, evaluations and documentation received from the department chairpersons and all applicants' appeals to the College/School RTP Committee. A minimum of five (5) committee members shall be elected at the start of each academic year from the ranks of the tenured faculty members within the College/School. Each academic department in the college/school must have, at least, one representative on the committee, unless there is no tenured faculty member within a department. Such departments shall not have any representative on the College/School RTP Committee.

b. The RTP Committee shall examine the applications, the supporting documents, and the evaluations and recommendations of the department RTP committee and chairperson to determine the eligibility of probationary faculty for retention in accordance with established criteria. The College/School RTP Committee's evaluations and recommendations shall then be submitted by the chair of the College/School RTP Committee by **November 15th** to the dean. Negative recommendations may be appealed to the dean by the 10th work day following the receipt of the written notification. For applicants in their second academic year of service, recommendations must be given to the dean by **October 31st. (Bylaws and Regulations, Part III, Chapter II, Section 2-8.B.2)**

### 4. Dean's Review and Evaluation

The dean shall conduct his evaluations and render recommendations, based on his review of all the supporting documents and recommendations from previous levels of review and appeals from retention applicants. Upon completion of his evaluation, the dean shall notify applicants and the chief academic officer of the results, in writing, by December 8th. Copies of the notification shall be forwarded to the appropriate department chair. Negative recommendations may be appealed to the Vice Chancellor for Academic Affairs by the 10th work day following the receipt of the written notification, who shall appoint a university-wide RTP appeals committee to provide advice and assistance in reviewing the appeals. For applicants in their second academic year of service, recommendations must be given to the Vice Chancellor for Academic Affairs by November 7th. **(Bylaws and Regulations, Part III, Chapter II, Section 2-8.B.2)**

5. Vice Chancellor for Academic Affairs Review and Evaluation

The chief academic officer shall make his assessment considering the application, the supporting documents, the evaluations and recommendations of the department committee, the chairperson and the College/School RTP Committee and dean and all appeals received from retention applicants. The chief academic officer's recommendations shall be submitted to the Chancellor of the campus by January 30th of each academic year. The retention applicants shall also be notified of the outcome with copies to the appropriate deans and department chairpersons. Negative recommendations may be appealed to the Chancellor by the 10th work day following the receipt of the written notification. For applicants in their second academic year of service, recommendations must be given to the Chancellor by November 14th. **(Bylaws and Regulations, Part III, Chapter II, Section 2-8.B.2)**

6. Chancellor's Review and Evaluation

The chancellor shall conduct his review and evaluation of the submitted dossiers. In the event a retention candidate receives a positive recommendation, he shall be so notified, in writing, with copies to the appropriate chairperson, the dean and the chief academic officer. If a candidate receives a negative recommendation, the candidate shall be notified, in writing, with the reasons stated. Copies of the notification shall be transmitted to the appropriate chairperson, the dean and the chief academic officer. The notification shall specify the effective termination date. The written notice of non-renewal of a probationary appointment should be issued no later than March 1, of the first academic year of service, if the appointment expires at the end of that academic year; no later than December 15, of the second academic year if the appointment expires at the end of that academic year; at least twelve months before the expiration of an appointment after two or more years of service at the institution **(Bylaws and Regulations, Part III, Chapter II, Section 2-8.B.2)**

The Chancellor's decision shall serve as the final action required in the retention review process if it is congruent with the RTP recommendation. Otherwise, the affected faculty member can appeal to the President and subsequently to the Board of Supervisors.

**4.6.2 Evaluation Guidelines for Retention of Probationary Faculty**

Probationary faculty members are those with tenure-track appointments, but who are not yet tenured. For tenure-track faculty, the annual evaluation provides an assessment of their performance and develops information concerning their progress toward promotion and/or tenure. It communicates their areas of strength and alerts faculty members to performance deficiencies at the earliest possible time.

Each academic department shall prepare and submit through its administrative hierarchy for approval, a plan for the annual evaluation for the retention of faculty members with probationary appointments. The tenured members of the faculty in each department shall participate in the

development of the department's retention plan and evaluation criteria and procedures. The process should provide evaluators with the opportunity to express concerns, observations and recommendations in writing regarding the probationary faculty member's performance in a manner intended to enhance the faculty member's chances of achieving tenure and/or promotion. The absence of a negative evaluation is not a guarantee of being retained or for the granting of tenure or promotion. Occasionally, the evaluation will result in termination of the individual's appointment prior to the critical year. Where appropriate, notice of termination will be given in accordance with provisions in the Faculty Handbook. Each department shall develop and implement an evaluation and retention plan with procedures, programs and incentives identified that support Southern University's commitment to engaging a competent faculty that is diverse. Academic units will develop and implement a plan for the evaluation and retention of probationary faculty. The plan shall:

1. Provide for the annual evaluation of all probationary faculty who have completed one full academic term/year at Southern University.
2. Require all probationary faculty to submit evaluation dossiers for retention consideration.
3. Encourage and promote contact between junior (probationary) and senior (tenured) faculty.
4. Identify a mentoring process to foster the development of new faculty to their fullest potential and provide the means to maximize their success at Southern University.
5. Incorporate evaluation factors from the faculty tenure and promotion procedures to ensure that probationary faculty move progressively toward tenure and/or promotion goals annually.
6. Explain the role of diversity in the evaluation process.
7. Provide for an interim review of probationary faculty during the initial year of the appointment by senior faculty and/or the department chair to determine continuation based upon a demonstrated collegiality, fitness, cooperativeness and/or overall performance. Program needs should be included as a factor for consideration.
8. Provide a means for the resultant annual assessment to be used in setting probationary faculty members' performance expectations for the ensuing academic year so as to guide the faculty member in areas in which improvement may be needed.
9. Provide the opportunity to develop changes in responsibilities assigned probationary faculty that reflect the strengths of the individual and needs of the university.
10. State notice requirements to be utilized in issuing notices of retention and non-retention published in the Faculty Handbook.

11. Provide details of performance expectations for the ensuing years for faculty whose appointments will continue.

#### **4.6.3 Evaluation Criteria for Retention**

In the interest of maintaining a strong faculty, serious consideration is given to the following in determining the progress made by a candidate in pursuit of tenure:

1. Teaching excellence
2. Personal professional development
3. Research, publications, and creative activities
4. University service
5. Professional activities
6. Student mentoring, including advisement

#### **4.7 Academic Tenure**

##### **4.7.1 Definition of Tenure**

Academic tenure is not a prerequisite to academic freedom, for academic freedom is the right of all members of the academic community. Tenure is a means of making the teaching profession attractive to persons of ability and constitutes only one important protection of academic freedom.

The traditional protection afforded by tenure against unwarranted dismissal of teachers has validity. Tenure is not, nor should it be, a shield for mediocrity, incompetence, or academic irresponsibility. Tenure must be earned, not given.

The granting of academic tenure shall be based on merit in accordance with established criteria, with the interest of the University being served maximally by such action. Religion, national origin, race, gender, handicap, color, creed, or age shall not be factors in the evaluation of an applicant for academic tenure.

The University subscribes to the principles of tenure for academic staff as set forth in the following statement of the American Association of University Professors:

Tenure is a means to certain ends; specifically; (1) freedom of teaching and research and of extramural activities and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

#### **4.7.2 Provisions of Tenure**

The following provisions for tenure, which are in accord with those adopted by the Board of Regents, shall be observed:

1. The Board of Supervisors has the ultimate responsibility for employing academic personnel and for awarding or denying tenure to academic personnel. The precise terms and conditions of every appointment shall be stated in writing and be in the possession of both institution and employee before the appointment is consummated.
2. Indeterminate tenure shall be earned by full-time probationary academic personnel with respect to academic rank only.
  - a. Administrators shall not earn tenure except in their capacity as members of the faculty.
  - b. Faculty members at the rank of instructor shall be on annual appointment and shall not be eligible for tenure. While ineligible for tenure, years served may count toward tenure once the individual has achieved a probationary appointment at the rank of assistant professor.
  - c. Assistant professors, or the equivalent, shall be eligible for tenure after serving the established probationary period.
  - d. Faculty members promoted to the rank of associate professor, professor, or equivalent shall be awarded indeterminate tenure and shall be formally notified in writing within thirty (30) days of Board action.
  - e. Faculty members initially employed at the rank of associate professor or equivalent shall serve a probationary period of three years, except at Southern University-Baton Rouge, where the probationary period will be four years.
  - f. Faculty members initially employed at the rank of professor or equivalent shall serve a probationary period of two years, except at Southern University-Baton Rouge, where the probationary period will be four years.
  - g. Faculty members appointed to the rank of professor or associate professor while being paid from a grant or contract for services may not be granted indeterminate tenure, but may be granted limited tenure, not exceeding the duration of the grant or contract.
3. Full-time academic personnel below the rank of associate professor or equivalent shall serve a probationary period not to exceed seven years. For the purpose of computing the maximum seven-year probationary period, service at all ranks may be included. However, faculty members appointed to a probationary rank after serving a minimum of five years of continuous service in a non-probationary, full-time rank at Southern

University, shall be eligible for tenure after serving a probationary period of at least two years, but not more than four years.

- a. At the end of the fifth year of service, such faculty members shall be evaluated for the purpose of determining eligibility for tenure.
  - b. At the end of the sixth year, the faculty member shall be evaluated and the results of each individual's evaluation shall be provided to that individual. In the event tenure is to be denied to an assistant professor, twelve months written notice of termination shall be given effective at the end of the subsequent academic year. In the event tenure is to be awarded, affected faculty members shall be informed in writing.
  - c. For the purpose of the probationary period, credit may be given for prior service within the Southern University System. Credit may be given for prior service at other institutions at the discretion of the Board. A probationary faculty member must serve at least two years in the tenure track position to be eligible to apply for tenure, when service credit is granted.
  - d. Recommendations of those to be considered for tenure shall originate in the various academic departments. The departmental committee of all the tenured faculty shall evaluate the prospective candidate and make recommendations to the chairperson.
4. Tenured faculty members shall retain their status until they retire, resign, or are terminated for cause or as a result of financial exigency or discontinuance of their program or department. Tenured faculty who face termination or who have been terminated due to program or departmental discontinuance should be given preference among the field of candidates for appointment to other faculty positions for which they are appropriately qualified, all other factors being equal.
5. The provisions of this policy are as follows:
- a. All persons holding tenure on the effective date of this policy shall retain their tenure.
  - b. Faculty members not now tenured but were employed must achieve tenure status within the time frames provided in current guidelines governing tenure for the respective ranks.
  - c. This revised policy is applicable to all persons employed subsequent to June 30, 1997.
  - d. Within thirty (30) days of the effective date of this policy, each tenured faculty member in each affected institution shall be notified of his/her tenure status. Within the same time period, each non-tenured faculty member shall be informed

of his/her non-tenure status and shall be informed of existing tenure policy affecting him/her.

#### **4.7.3 Procedures for Recommending Academic Tenure**

In accordance with the Bylaws and Regulations of the Southern University Board of Supervisors, the Board may, under extraordinary circumstances and upon proper recommendations, waive the probationary period. When applicable, the probationary period for each academic rank is listed as follows:

1. Assistant Professor--At this level the faculty member must serve a probationary period of five years, the evaluation for tenure will take place during the sixth year (the critical year). At the end of the sixth year, if tenure is to be denied, a written notice of termination, to be effective at the end of the subsequent academic year, will be given. In the event tenure is to be awarded, the faculty member must be informed in writing. At the rank of assistant professor a faculty member can receive tenure by being promoted to associate professor, which provides automatic tenure and written notification thereof within thirty (30) days of the Board of Supervisor's action.

2. Associate Professor--Faculty members initially employed at the rank of associate professor shall serve a three year probationary period, and the evaluation for tenure will take place during the fourth year (the critical year). At the end of the fourth year, if tenure is to be denied, a written notice of termination, to be effective at the end of the subsequent academic year, will be given.

At the rank of associate professor, a faculty member can receive tenure by being promoted to professor, which provides automatic tenure and written notification thereof within thirty (30) days of the Board of Supervisor's action.

3. Professor--Persons initially employed as full professors shall serve a two-year probationary appointment within the Southern University System, and the evaluation for tenure will take place during the third academic year (the critical year). At the end of the third year, in the event tenure is to be awarded, the faculty member will be informed in writing. If tenure is to be denied, a written notice of termination to be effective at the end of the subsequent academic year, will be given.

4. The tenure applicant shall include an updated resume in his/her dossier. All eligible faculty members are responsible for the completeness of all required items to be included in the dossier. Where required items are not provided, it is the responsibility of the faculty member to include a signed statement in the dossier indicating why such documentation is not included.

5. Application for tenure shall be submitted to the chairperson. A list of all materials contained in the dossier will be developed by the applicant to be signed by both the applicant and the chairperson to certify the inclusion of the materials. Copies of the

signed list will be made for the chairperson and the applicant. The original shall remain in the dossier.

#### **4.7.4 Tenure Evaluation Process**

In the critical year of his appointment, each probationary faculty member's evaluation shall be initiated within his department to determine if the faculty member is eligible for tenure. In the event tenure is denied to a faculty member, appropriate written notice shall be given and the faculty member's appointment will terminate on the last work day of the subsequent academic year. Written notice of denial of tenure should be issued by the end of the academic year in which the application was made.

#### **4.7.5 Levels of Review**

Each tenure applicant shall be evaluated and/or reviewed by the appointed committees and officials listed below. In case of a negative recommendation at any level of the review process, a statement setting forth the reason(s) for disapproval must be attached to the application, and transmitted to the next level of authority. The applicant should receive written notice of the outcome at each evaluation phase. In addition, the applicant shall be provided the opportunity to submit a written response to a negative evaluation at any phase, which shall be taken into consideration at the next level of review.

##### **4.7.5.A Department Retention, Tenure and Promotion (RTP) Committee Evaluation**

- a. Each tenure applicant shall be evaluated by the Retention, Tenure and Promotion (RTP) Committee in his department or academic unit using the criteria published for this purpose.
- b. Upon receipt of tenure applications, the chairperson shall convene the department RTP Committee, who shall evaluate the candidate and make recommendations to the chairperson for his/her review and recommendation. The department's RTP Committee shall be composed of all the tenured faculty from the academic unit who do not also serve on the RTP Committee for the College.
- c. For small departments with insufficient tenured faculty to serve, tenured faculty members shall be drawn from other departments within the college of origin of the applicant. Upon completion of the review, the chair of the department's RTP Committee shall notify the applicants of the results, in writing, and forward its written recommendations, along with all supporting documents, to the departmental Chairperson on or before the date established by the department faculty. Negative recommendations may be appealed to the chairperson by the 10th work day following the receipt of the written notification.

#### **4.7.5.B Department Chairperson's Review and Evaluation**

- a. The department chairperson shall receive the department RTP Committee's recommendation and all appeals from tenure applicants. The department chairperson will conduct his evaluation of each tenure applicant.
- b. After receipt of the department RTP Committee's recommendation, the chairperson makes his recommendation based on his review of all supporting documents. Upon completion of the review, the Chairperson shall notify the applicants of the results, in writing. Negative recommendations may be appealed to the College/School RTP Committee, via the dean by the 10th work day following the receipt of the written notification.
- c. The applications and all supporting documents, together with evaluations and recommendations of the departmental committee and the chairperson, shall then be submitted by October 15th to the dean of the appropriate college/School for the College/School RTP committee's evaluation and recommendation.

#### **4.7.5.C College/Division Retention, Tenure and Promotion Committee Evaluation**

- a. The dean shall forward all recommendations, evaluations and documentation received from the department chairpersons and all appeals from tenure applicants to the College/School RTP Committee. A minimum of five committee members shall be elected at the start of each academic year from the ranks of the tenured faculty members within the college/school and two shall be appointed by the Faculty Senate. Each academic department in the college must have, at least, one representative on the committee, unless there is no tenured faculty member within a department. Such departments shall not have any representative on the College/School RTP Committee.
- b. The Committee shall examine the application, the supporting documents, and the evaluations and recommendations of the department and chairperson to determine the applicant's eligibility for tenure in accordance with established criteria. The College/School RTP Committee evaluations and recommendations shall then be submitted by the chair of the College/School RTP committee by **November 15th** to the dean. Negative recommendations may be appealed to the dean by the 0th work day following the receipt of the written notification.

#### **4.7.5.D Dean's Chairperson Review and Evaluation**

The dean shall conduct his evaluations and render recommendations, based on his review of all supporting documents and recommendations from previous levels of review and appeals from tenure applicants. Upon completion of his review, the dean shall notify the applicants and the chief academic officer of the results, in writing, by December 8th. Copies of the notification shall be forwarded to the appropriate department chair. Negative recommendations may be

appealed to the Vice Chancellor for Academic Affairs by the 10th work day the receipt of a following written notification, who shall appoint a university-wide RTP appeals committee to provide advice and assistance in reviewing the appeals.

#### **4.7.5.E Vice Chancellor for Academic Affairs Review and Evaluation**

The chief academic officer shall assess the applications, the supporting documents, the evaluations and recommendations of the departmental committee, the chairperson, the College/School RTP committee, the dean and appeals received from tenure applicants. The chief academic officer will assemble the Retention, Tenure and Promotion Appeals Committee to deliberate on appeals by January 15th of each academic year. The chief academic officer's recommendations shall be submitted to the chancellor of the campus by **January 30th** of each academic year. The tenure applicant shall also be notified, with copies to the appropriate dean and department chairperson. Negative recommendations may be appealed to the Chancellor by the 10th work day of the receipt of the written notification.

#### **4.7.5.F Chancellor's Review and Evaluation**

After conducting his review of the submitted dossiers, the Chancellor shall then make his evaluations and submit recommendations to the **President by February 25th** of each academic year and notify the applicants. Negative recommendations may be appealed to the President by the 10th work day of the receipt of the written notification.

#### **4.7.5.G The President's Review and Evaluation**

The President shall make evaluations and submit his/her recommendations for tenure to the Board of Supervisors. The President, as secretary to the Board of Supervisors, shall communicate to the appropriate parties the actions of the Board of Supervisors immediately following the meeting in which action was taken. Negative recommendations may be appealed to the Board.

#### **4.7.5.H The Board of Supervisors**

The Board of Supervisors decision shall serve as the final action required in the tenure review process.

#### **4.7.6 Criteria for Tenure**

A candidate for tenure must have a probationary appointment and be the holder of the terminal degree in his/her teaching discipline or possess exceptional credentials in lieu thereof. In the interest of maintaining a strong faculty, serious consideration is given to candidates as it pertains to the following:

1. Teaching excellence;
2. Personal professional development;

3. Research, publications, and creative activities;
4. University service;
5. Professional activities; and
6. Student mentoring, including advisement.

**4.7.6.A. The materials in support of a recommendation for tenure shall include the following:**

- a. A completed application from the faculty member with supporting documents, such as list and copies, when applicable, of publications, presentations, exhibits, etc., and proper signatures.
- b. A completed evaluation form from the chairperson analyzing the work of the faculty member in detail, designating and documenting the areas of competence and excellence which support the recommendation for tenure from the past successive three years.
- c. A summary of student evaluations of faculty member from the past successive three years **(or past successive two years for faculty members hired at the rank of professor)**.
- d. Completed evaluation forms from other tenured members of the faculty regarding the faculty member's performance (Peer Evaluation) for the past successive three years (or two for professors).

While all criteria cited above are important and will be considered when evaluating applicants for tenure, it is required that each faculty member will achieve a minimum of eighty (80) percent of the total number of points available for teaching excellence.

**Additionally, each campus shall establish the minimum points a tenure candidate must earn in the evaluation process for the criterion entitled research, publications, and creative activities for Assistant Professor, Associate Professor and Full Professors (see Appendix for the details on the Guide for Quantitative evaluation for each campus).**

**4.7.6.B The provisions of this policy shall not be retroactive, therefore:**

1. All persons holding tenure on the effective date of this policy shall retain their tenure.
2. This policy shall in no way affect any rights acquired by any person employed by Southern University before the effective date of this policy (July 1, 1976; revised 2004).

Within thirty (30) days of the effective date of this policy, each tenured faculty member shall be notified of his/her tenure status. Within the same time period, each non-tenured faculty member shall be informed of his/her non-tenure status and shall be informed of existing tenure policy affecting him/her.

#### **4.7.7 Post-Tenure Review**

The System's Office of the Vice President for Academic Affairs has been charged by the System President to work collaboratively and expeditiously with campus administrators and faculty to develop a System's policy on post-tenure review for use in the up-coming academic year and for inclusion in the faculty handbook, when completed.

#### **4.8 Academic Promotion**

Promotion from one academic rank to the next shall be based on merit in accordance with established criteria, with the interest of the University being served maximally by such action. Possession of specified degrees and time spent in a specific rank, while considered as factors in determining merit, shall not alone constitute justification for promotion in rank. Religion, national origin, race, sex, color, creed, disability, or age shall not be factors in the evaluation of an application for promotion. It is the responsibility of the faculty member to determine whether he or she is eligible for promotion consideration. The Board of Supervisors has the ultimate responsibility for promoting or denying promotion to academic personnel. Under exceptional circumstances, with proper recommendations at all levels, the Board may waive the probationary period for promotion.

##### **4.8.1 Promotion Procedure**

1. The applicant for promotion shall include an updated resume in his/her dossier. All eligible faculty members are responsible for the completeness of all items to be included in the dossier. Where required items are not provided, it is the responsibility of the faculty member to include a signed statement in the dossier indicating why such documentation is not provided.
2. Application for promotion shall be submitted to the Chairperson. A list of all materials contained in the dossier will be developed by the applicant to be signed by both the applicant and the Chairperson to certify inclusion. Copies of the signed list will be made for the Chairperson and the applicant. The original shall be included in the dossier.

##### **4.8.2 Promotion Evaluation Process**

Each probationary faculty member's evaluation shall be initiated within his/her department to determine the faculty member's eligibility for promotion. In the event promotion is denied to a faculty member, appropriate written notice shall be given. The written notice of denial should be issued by April 1st of the academic year in which the evaluation is made.

##### **4.8.3 Levels of Review**

Each promotion applicant shall be evaluated and/or reviewed by the appointed committees and officials listed below. In case of negative recommendation at any level of the review process, a statement setting forth the reason(s) for disapproval must be attached to the promotion application, and transmitted to the next level of authority. The applicant should receive written

notice of the outcome at each evaluation phase. In addition, the applicant shall be provided the opportunity to submit a written appeal to a negative evaluation at any phase, which shall be taken into consideration at the next level of review.

#### **4.8.3.A Department Retention, Tenure and Promotion Committee Evaluation**

- a. Each applicant for promotion shall be evaluated by the Retention, Tenure and Promotion (RTP) Committee in his department or academic unit using the criteria published for this purpose.
- b. Upon receipt of the applications, the chairperson shall convene the departmental RTP committee to evaluate the prospective candidates for promotion and make recommendations to the chairperson for his/her review and recommendation. Only the tenured members of the department's RTP Committee above the rank of the applicant and who do not also serve on the RTP Committee for the College/School shall evaluate the promotion application.
- c. For small departments with insufficient tenured faculty to serve, tenured faculty members shall be drawn from other departments within the applicant's college. Upon completion of the review, the chair of the department RTP committee shall notify the applicants of the results, in writing, and forward the committee's written recommendations, along with all supporting documents to the department chairperson on or before the date established by the department. Negative recommendations may be appealed to the department chairperson by the date established by the department and that provides at least 10 work days for filing an appeal.

#### **4.8.3.B Department Chairperson's Review and Evaluation**

- a. The department chairperson shall receive and review the department RTP Committee's recommendation and all appeals from promotion applicants. The department chairperson will conduct an evaluation of each applicant.
- b. The chairperson makes his/her recommendation based on his/her review of all supporting documents. Upon completion of the review, the Chairperson shall notify the applicants of the results, in writing.
- c. The applications and all supporting documents together with evaluations and recommendations of the departmental committee and the chairperson shall then be submitted by October 15th to the dean of the appropriate college or division for the College/School RTP committee evaluations and recommendations. Negative recommendations by the department chair may be appealed to the College/School RTP committee, via the dean by October 17th.

#### **4.8.3.C College/School Retention, Tenure and Promotion Committee Evaluation**

- a. The dean shall forward all recommendations evaluations and documentation received from the department chairpersons and all applicants' appeals to the College/School RTP committee. A minimum of five Committee members, above the rank of the applicant, shall be elected at the start of each academic year from the ranks of the tenured faculty members within the College/School and two (2) shall be appointed by the faculty senate. Each academic department in the college must have, at least, one representative on the committee, unless there is no tenured faculty member within a department. Such departments shall not have any representative on the College/School RTP Committee.
- b. The RTP Committee shall examine applications, supporting documents, and evaluations and recommendations of the department RTP committee and department chairperson to determine the eligibility of faculty for promotion in accordance with established criteria. The College/School RTP committee's evaluations and recommendations shall then be submitted by the chair of the College/School RTP committee by November 15th, to the dean. Negative recommendations may be appealed to the dean by the 10th work day following the receipt of a written notification.

#### **4.8.3.D Dean's Review and Evaluation**

The dean shall conduct his evaluations and recommendations, based on his review of all supporting documents and recommendations from previous levels of review and all appeals from promotion applicants. Upon completion of his evaluation, the dean shall notify applicants and the chief academic officer of the results, in writing by December 8th. Copies of the notification shall be forwarded to the appropriate department chair. Negative recommendations may be appealed to the Vice Chancellor for Academic Affairs by the 10th work day following the receipt of a written notification, who shall appoint a university-wide RTP appeals committee to provide advice and assistance in reviewing the appeals.

#### **4.8.3.E Vice Chancellor for Academic Affairs Review and Evaluation**

The chief academic officer shall assess the applications, supporting documents, evaluations and recommendations of the departmental committee, the chairperson, the College/School RTP committee, the dean and all appeals received from promotion applicants. The chief academic officer's recommendations shall be submitted to the Chancellor of the campus by January 30th of each academic year. The promotion applicant shall also be notified of the outcome, with copies to the appropriate dean and department chairperson. Negative recommendations may be appealed to the Chancellor by the 10th work day following the receipt of a written notification.

#### **4.8.3.F Chancellor's Review and Evaluation**

After conducting his review of the supporting documents, the evaluations and recommendations of the departmental committee, the chairperson, the College/School RTP committee, dean, the

Vice Chancellor for Academic Affairs and all appeals received from promotion applicants, the Chancellor shall then make his evaluations and submit recommendations to the President by February 25 of each academic year. Negative recommendations may be appealed to the President by the 10th work day following the receipt of a written notification.

#### **4.8.3.G The President's Review and Evaluation**

The President shall make evaluations and submit his recommendations for promotion to the Board of Supervisors. The President, as secretary to the Board of Supervisors, shall communicate to the appropriate parties the actions of the Board of Supervisors immediately following the meeting in which action was taken by the Board. Negative recommendations may be appealed to the Board.

#### **4.8.3.H The Board of Supervisors**

The Board of Supervisors decision shall serve as the final action required in the promotion review process.

##### **Materials in support of an application for promotion shall include:**

- a. copies of students' evaluations of the faculty member for the last three (3) successive years;
- b. copies of the peer evaluations of the faculty member for the last three (3) successive years;
- c. copies of the chairperson's evaluations of the faculty member for the last three (3) successive years;
- d. copies of reprints of refereed publications resulting from research, printed materials that substantiate involvement in creative activities, participation in workshops, seminars, professional organizations, etc.;
- e. documentation of honors, awards, recognitions bestowed or received;
- f. any other documents of professional merit that will facilitate a decision on the request for promotion.

##### **When the applicant for promotion is the department chair, the following shall also be included in the dossier:**

- a. copies of the faculty evaluations of the chairperson for the last three (3) successive years when the chairperson is being considered for promotion in rank;
- b. copies of the academic dean's evaluation of the chairperson for the last three (3) successive years when the chairperson is being considered for promotion in rank;

Faculty promotion forms and an information sheet can be obtained from the Office of Academic Affairs.

To minimize subjectivity in the evaluation process, evaluators (the departmental committee through the College Retention, Tenure and Promotion Committee), where applicable, shall assign points in accordance with the different categories in the evaluation procedures. As such, each campus shall develop its **Guide for Quantitative Evaluation: Promotion and Tenure in accordance with its mission (see Appendix)**.

#### **4.8.4 Experience and Training Requirements**

Instructors at the University are eligible to apply for advertised faculty positions at the rank of Assistant Professor or higher. Instructors considered as viable candidates for such appointments would be the holder of the masters' degree or its equivalent and shall provide evidence that the terminal degree is being pursued in an organized program of study in his teaching discipline and would provide a projected date for completion of all requirements for the degree substantiated in writing by his major professor or advisor.

**Assistant professor to Associate professor--Application for promotion shall be made and considered during the fifth year of service at the University at the rank of assistant professor.** It is required that an assistant professor considered for promotion would be the holder of the terminal degree in his/her teaching discipline or possess exceptional credentials in lieu thereof.

**Associate professor to Professor--**Application for promotion shall be made **during the fifth year of service at the University at the rank of associate professor.** It is required that an associate professor considered for promotion would be the holder of the terminal degree in his/her teaching discipline or possess exceptional credentials in lieu thereof.

#### **4.9 Termination of Employment**

Termination of faculty employment may result from cause, denial of tenure, financial exigency, discontinuance of a program, grant, contract or department of instruction, unable/unavailable to serve, resignation, or retirement or contingent matters directly related to these enumerated.

##### **4.9.1 Cause and Establishment of An Investigatory Panel**

Causes for discharge or termination of contract shall include those specified by laws governing State University Systems and conduct seriously prejudicial to the University; conviction for a felony, or unethical and immoral behavior; neglect of duty; incompetence or failure to perform duties in a professional manner.

The formal hearing for a faculty member with indeterminate tenure recommended for discharge or termination will be preceded by: (1) discussion between the faculty member and the appropriate administrative officer in the academic unit or university originating the complaint with an eye toward a mutual settlement; (2) informal inquiry by a duly elected faculty committee

chosen by faculty within the academic unit; and (3) a statement of charges by the chancellor or his/her designee.

If no mutual settlement is reached from the discussions, then a formal hearing by an investigatory panel composed entirely of faculty members will be held whenever the complaint lodged against a tenured faculty member could lead to termination for cause. Within ten working days after the findings of the elected faculty committee are made known to the chancellor and no mutual settlement has been made, the chancellor shall cause to be established an investigatory panel to conduct a formal hearing.

The investigatory panel shall be comprised of seven (7) faculty members of which two (2) shall be appointed by the chief academic officer of the campus, four (4) by the Faculty Senate or its equivalent, and one (1) by the chancellor. The presiding officer of the panel shall be designated by the chief academic officer with the approval of the chancellor of the concerned campus, and shall be entitled to a vote. Should anyone or several of the above fail or refuse to appoint the required representatives to the panel, the appointments shall be made by the System president as he/she deems advisable. All votes of the panel members on each motion or issue shall be recorded and submitted as a part of the panel's report.

The panel shall report its findings and recommendations to the accused faculty member and to the chief academic officer of the campus, who shall study the report, formulate his/her recommendations to the chancellor of the concerned campus within ten (10) working days of receipt of the report of the panel. The chief academic officer shall also transmit his/her recommendations to the accused at the same time. The chancellor shall, within ten (10) days of receipt, review the record and the report transmitted to him/her by the chief academic officer, formulate recommendations, and submit them to the president. The chancellor shall transmit his/her recommendations to the accused faculty member at the same time.

The president shall review the entire record, and shall within ten (10) working days make whatever disposition is warranted by the evidence, and he/she shall report his/her findings and actions, in writing, to the concerned faculty and the Southern University Board of Supervisors.

#### **4.9.2 Procedure by the Investigatory Panel**

A formal hearing for dismissal will be preceded by a statement of reasons therefore, and the individual concerned will have the right to be heard initially by the elected faculty hearing committee. Members deeming themselves disqualified for bias or interest shall remove themselves from the case, either at the request of a party or on their own initiative. Each party will have a maximum of two (2) challenges without stated cause.

1. Pending a final decision by an investigatory panel the faculty member will be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to himself/herself or others is threatened by his/her continuance. Before suspending a faculty member, pending an ultimate determination of the faculty member's status through the institution's hearing procedures, the administration will consult with the Faculty Grievance Committee concerning the propriety, the

length, and the other conditions of the suspension. A suspension which is intended to be final is a dismissal, and will be treated as such.

2. The panel may, with the consent of the parties concerned, hold joint pre-hearing meetings with the parties in order to (i) simplify the issues, (ii) effect stipulations of facts, (iii) provide for the exchange of documentary or other information, and (iv) achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective and expeditious.
3. Service of notice of hearing with specific charges in writing will be made at least twenty days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges against him/her or asserts that the charges do not support a finding of adequate cause, the hearing tribunal will evaluate all available evidence and rest its recommendation upon the evidence in the record.
4. The panel, in consultation with the chief academic officer and the faculty member, will exercise its judgment as to whether the hearing should be public or private.
5. During the proceedings the faculty member will be permitted to have an academic advisor and counsel of his/her own choice.
6. At the request of either party or the panel, a representative of a responsible educational association shall be permitted to attend the proceedings as an observer.
7. A verbatim record of the hearing or hearings will be taken and a typewritten copy will be made available to the faculty member without cost, at the faculty member's request.
8. The burden of proof that adequate cause exists rests on the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole
9. The hearing panel may grant recess to enable either party to investigate evidence as to which a valid claim of surprise is made.
10. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the panel in securing witnesses and making available documentary and other evidence.
11. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the panel determines that the interests of justice require admission of their

statements, the panel will identify the witnesses, disclose their statements, and if possible provide for interrogatories.

12. In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.
13. The panel will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.
14. The findings of fact and the decision will be based solely on the hearing record.
15. For private hearings, except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the governing board of the institution. The chancellor, through the vice chancellor for academic affairs, and the faculty member will be notified of the decision in writing and will be given a copy of the record of the hearing.
16. If the panel concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the vice chancellor for academic affairs. If the panel concludes that adequate cause for a dismissal has been established, but that an academic penalty less than dismissal would be more appropriate, it will so recommend with supporting reasons. The vice chancellor for academic affairs shall attach his/her comments to the recommendations and send them to the Chancellor.

#### **4.9.3 Financial Exigency**

See the Board of Supervisors' policy and procedures for responding to financial emergencies within the Southern University System that was originally approved January 1987 and amended by the Board of Supervisors at its April 14, 1993 meeting.

#### **4.9.4 Unable/Unavailable to Serve**

Termination of an appointment with tenure, or of a probationary or special appointment before the end of the period of appointment, for documented reasons, will be based upon clear and convincing evidence that the faculty member cannot continue to fulfill the terms and conditions of the appointment. The decision to terminate will be reached only after there has been appropriate consultation and after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and has been afforded an opportunity to present the faculty member's position and to respond to the evidence. If the faculty member so requests, the evidence will be reviewed by an appropriately appointed

committee, a majority of which will be appointed by the Faculty Senate, before a final decision is made by the Board of Supervisors on the recommendation of the administration.

#### **4.9.5 Administrative Review**

Any proposed termination of tenured faculty based on financial exigency, discontinuance of a program or department of instruction, or medical reasons shall be reviewed by a committee of tenured faculty, a majority of which will be appointed by the Faculty Senate, before a course of action is decided.

Recommendations developed by the Committee shall be transmitted through appropriate channels to the Board of Supervisors. Tenured faculty may appeal to the Board of Supervisors, which shall be the final authority. The remaining members of the Committee of tenured faculty shall be appointed by the chief academic officer and approved by the chancellor who is provided with complete information pertaining to the matter under consideration. Additionally, appropriate University officials may make themselves available to the Committee for the purpose of responding to questions and concerns which facilitate the structuring and comprehension of recommendations.

Following a decision not to reappoint an individual for other than cause, the University will make every effort to assist the affected faculty member to secure a suitable position elsewhere.

If within a period of three years from the date of termination there should become available at the University a position for which a faculty member terminated because of financial exigency is suited, that faculty member will be offered the position and will be given a reasonable period of time in which to accept or to reject the offer.

#### **4.9.6 Action by the Governing Board**

If dismissal or other severe sanction is recommended, the president will, on request of the faculty member, transmit to the governing board the record of the case. The governing board's review will be based on the record of the committee hearing, and at its option, provide the opportunity for argument, oral or written or both, by the principals at the hearings or by their representatives.

#### **4.9.7 Procedures for Imposition of Sanctions Other than Dismissal**

1. If the administration believes that the conduct of a faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify imposition of a severe sanction, such as suspension from service for a stated period, the administration may institute a proceeding to impose such a severe sanction.
2. If the administration believes that the conduct of a faculty member justifies imposition of a minor sanction, such as a reprimand, it will notify the faculty member of the basis for the proposed sanction and provide the faculty member with an opportunity to persuade the administration not to impose the proposed

sanction. A faculty member who believes that a major sanction has been incorrectly imposed under this paragraph, or that a minor sanction has been unjustly imposed, may, pursuant to Section 5.11, petition the faculty grievance committee for review and action as may be appropriate.

#### **4.10 Notification of Termination**

A. Temporary Faculty Members -- No notice of termination is required for a temporary faculty position. The letter of appointment for such a position contains the termination date of the appointment, and no additional notice should be expected.

B. Probationary Faculty Members written notice of termination of a probationary faculty member shall be provided in accordance with the following schedule:

1. No later than March 1 of the first academic year of service.
2. No later than December 15 of the second academic year of service.
3. At least twelve months before the expiration of an appointment after two or more years of service.
4. A faculty member who has been denied reappointment may request that the reasons given for the non-renewal be confirmed in writing and that the matter be reviewed by a faculty committee not previously involved.

C. Tenured faculty members when notice of the termination of a tenured faculty member is imminent, it must be preceded by a tenure review process which examines the cause for such termination as set forth in the policies and procedures of the Board of Supervisors.

#### **4.11 Resignation**

1. Except by agreement with the institution, a faculty member should not leave or be solicited to leave his position during an academic year for which he has accepted an appointment.

2. A faculty member should not resign in order to accept other employment as of the end of the academic year, later than May 15 or 30 days after receiving notification of terms of his continued employment the following year, whichever date occurs later. When emergencies occur, a request to waive this requirement is in order.

3. Negotiations for appointments for the following fall semester should begin and be completed as early as possible in the academic year. It is recommended that the faculty member who has been approached with regard to another position inform the appropriate officers when such negotiations are in progress. The conclusion of a binding agreement for the faculty member to accept an appointment elsewhere should be followed by prompt notice to the University.

4. To permit a faculty member to give due consideration and timely notice to the University in the circumstances outlined, an offer of appointment for the following fall at another institution should not be made after May 1. The offer should be a "firm" one, not subject to contingencies.

## **4.12 Leaves of Absence**

### **4.12.1 Procedures**

University personnel may be granted leaves of absence when there is reason for doing so. Except in an emergency, requests for leaves of absence shall be made in writing on the appropriate form in sufficient time to obtain approval before the date the leave is to commence.

1. Failure to obtain authorization before leaving may be considered cause for disciplinary action and may result in the denial of any rebate which is due.
2. Forms for requesting leave of absence may be obtained from the departmental chairperson, immediate supervisor, or the Human Resources Office.
3. The completed form is submitted to the department head or immediate supervisor for action.
4. The form is transmitted to each level of authority until it reaches the officer having final authority to grant leaves. This officer shall act upon the form and shall expeditiously communicate the action to the originator of the request for leave.
5. When a request is disapproved, the disapproving officer shall communicate in writing to the applicant and to the officer at the next level of authority the reason for disapproval.
6. An applicant who expects to travel at University expense during the requested leave of absence should complete also a Travel Request Form (SU615) and submit it to the department head or immediate supervisor.
  - a. Travel funds are assured only with prior authorization by the vice chancellor for administration.
  - b. Such authorization is granted only upon certification by the Office of the Comptroller that funds are available in the account to which the charge will be made.
7. Compensation during periods of leave shall be in accordance with provisions stated in Executive Order #56 (January 1, 1974), Act 241 (1974 Regular Session), and Act 313 (1975 Regular Session), Chapter XI of the State Civil Service Rule and Regulations and Part III, Chapter III, of the Bylaws and Regulations of the Southern University Board of Supervisors (October 20, 1984).

#### **4.12.2 Types of Leave**

Leaves of absence fall into the following categories: academic, sabbatical, annual, sick, maternity, civil, emergency, special, military, compensatory, leave without pay, and other.

Full-time academic employees at the rank of instructor (or equivalent) or above who have completed three or more consecutive years of service on the campus may petition for academic leave for study leading to the terminal degree or independent study and research, the object of which is to increase professional efficiency and usefulness to the University. Adequate justification setting forth the plans for each academic leave shall be stated, and a report of the accomplishments under each leave granted shall be made promptly upon return from academic leave.

Persons employed on a twelve-month basis are eligible for twelve months of leave with three-fourths (of yearly salary) pay or six months of leave with three-eighths (of yearly salary) pay if such persons have completed six consecutive years of service. Persons who have completed three years of consecutive service are eligible for leave benefits at one-half of the rate granted otherwise.

Persons employed on a nine-month basis are eligible for nine-months of leave with three-fourths (of the nine-months salary) pay or one-semester leave with three-eighths (of the nine-months salary) pay, provided that such persons have completed six consecutive years of service. Persons who have completed three consecutive years of service are eligible for leave benefits at one-half of the rate granted otherwise.

The chancellor shall, after receiving requests from the chief academic officer or other administrative heads, make recommendations for academic leave through the President to the Board.

Before the leave period, persons approved for leave shall be informed in writing of the status of their fringe benefits and the conditions of their leave.

##### **4.12.2.A Academic Leave**

By executing a Permission to be Absent Form faculty members may secure authorization to be absent to attend professional meetings, to serve on committees, to engage in recruitment activities for the University, or to engage in other activities which may serve the interest of the University. The Board of Supervisors makes the following provision for leaves of longer action:

- a. Faculty members at the doctoral level shall enjoy the same privileges as those who do not hold the doctorate, except that such persons may engage in independent study or research. In those cases where the faculty members receive outside compensation for such study or research, then they are not eligible for leave with pay under this policy. No faculty member with less than a doctor's

degree shall be entitled to a leave with pay in order to engage in independent study or research.

- b. Every application shall specify:
  - (1) the period for which leave is requested,
  - (2) whether leave is requested for the purpose of professional or cultural improvement, or rest and recuperation,
  - (3) the precise manner, insofar as possible, in which such leave, if granted, will be spent,
  - (4) the semesters spent in active service in the college from which leave is requested, and
  - (5) a statement over the signature of the applicant that he or she agrees to comply with the provisions of the enactment. Every application for leave for the purpose of rest and recuperation shall be accompanied by statements from two physicians certifying that the health of the applicant is such that the granting of such leave would be proper and justifiable.
  
- c. Any applicant who, at the expiration of the semester in which he or she applies, shall be ineligible for the leave requested, or who has not complied with the provisions listed above, shall have his/her applications rejected. All other applicants may have their applications granted provided that all leaves requested in such applications can be taken without violating the following provision: at no time during any semester of the academic year shall the number of persons on leave exceed five percent of the faculty, except in cases of sick leave, where these percentages may be exceeded.
  
- d. After each leave period is finished, evidence must be submitted to indicate that the purpose for which the leave was granted has been achieved. For those not holding the doctorates, official transcripts must be sent to the appropriate academic dean; for those holding doctorates, adequate written evidence must be submitted to the appropriate dean by the individual, and, whenever possible, corroborated by the institution(s) concerned.
  
- e. The normal compensation for the period of leave approved shall be at the rate of seventy-five percent of the salary that the individual received during the preceding fiscal year for the period of time the leave is applied for and granted. The individual shall contribute to the retirement system on the basis of annual salary rate. Compensation payable to persons on leave shall be paid at the times at which salaries of the other members of the teaching staff are paid and in the same manner.
  
- f. Refusal by a faculty member to comply with provisions of this policy shall result in the withdrawal of approval for the leave; establishment of grounds for requiring the mandatory reimbursement to the university of any funds received to support the sabbatical leave.

- g. In accepting a leave of absence with pay, the faculty member shall be understood to assume a moral obligation to return to this University for at least one year of further service.

Persons desiring leave under these provisions shall execute a Request for Leave of Absence Form-Southern University System.

#### **4.12.2.B Sabbatical Leave**

Members of the SUS faculty with tenure at the time of submitting the application for sabbatical leave, and the rank of assistant professor or above, may be granted sabbatical leave after six complete academic years of continuous service at SUS (continuous service shall not include leaves of more than two months). Sabbatical leave is granted on the basis of application by the faculty member and recommendation by the Sabbatical Leave Evaluation Committee (SLEC) (which is appointed by the Vice Chancellor for Academic Affairs) and upon approval by the Vice Chancellor for Academic Affairs and the Chancellor. Recommendations will be forwarded to the President of the Southern University System and the Southern University Board of Supervisors, as appropriate. At no time during any semester of an academic year shall the number of persons on sabbatical leave exceed five percent of the total faculty in any academic unit or the University.

Purpose: The primary purpose of a sabbatical leave is to enhance the faculty member's value to SUS. Specifically, a sabbatical leave is to be used for one or more of the following purposes:

- a. Research scholarship, creative work and/or study intended to result in publication, exhibition, presentation, innovation or invention.
- b. Refresher courses or a program of study, work, or travel designed to keep the faculty member abreast of the latest developments in his or her area of specialization.
- c. Work toward an advanced degree.

Period of Leave and Salary: A sabbatical leave may be granted for the following periods and salary levels, depending on whether a nine- or twelve-month appointment is held by the faculty member or administrator with faculty status:

- a. one semester at full pay (9-month appointees)
- b. six months at full pay (12- month appointees)
- c. an academic year at half pay (9-month appointees)
- d. twelve months at half pay (12-month appointees)

Normally, sabbatical leaves will be taken over a period of consecutive months. When it is in the best interest of the University as determined by the Chancellor, the period of the

sabbatical leave may be split such that it is not taken over a continuous time period. However, the sabbatical leave, from beginning to end must be completed within 18 months and cannot extend beyond the total approved time period.

Additional Compensation: Faculty members granted sabbatical leaves may be permitted to receive additional compensation for study and research if written approval for such compensation is granted by the Chancellor of each respective campus. The following conditions apply:

- a. Sabbatical leave pay may be supplemented by fellowships, grants, or other sources provided the total compensation does not exceed the regular full-time salary rate as apportioned for the period of the leave, and provided that activities resulting from additional compensation are not in conflict with the purposes for which the sabbatical leave was granted.
- b. Normal consulting arrangements may be continued provided they do not conflict with the purpose and spirit of the sabbatical leave program and comply with SUBR's policies governing outside employment.
- c. Grants or stipend adjustments to defray relocation cost reimbursements, cost-of-living allowances, and/or research expenses may be accepted, provided such reimbursements, allowances, and/or expenses are not for personal compensation.
- d. Faculty members are encouraged to seek external funds (i.e., as from the host institution) to cover part or all of the cost of their salary and benefits during the sabbatical leave. While the acquisition of such funding is not part of the evaluation process, it clearly could lead to the granting of leaves that may not otherwise be possible because of fiscal constraints.

Fringe Benefits: The University will continue its contributions to health plans based upon existing coverage. The retirement contributions will be paid by the employee and employer upon completion of the leave providing the faculty member chooses to contribute. Appropriate leave shall accrue during the period of sabbatical leave if the leave is with pay, however, it shall not be vested until the leave ends and the faculty member returns to SUS. If disability occurs during a sabbatical leave with full or part pay, the leave will terminate the day prior to the day upon which disability begins and sick leave benefits will start in accordance with personnel policies.

Residence: Faculty members on sabbatical leave are expected to choose a residence in a location which is appropriate to achieving the purposes of the sabbatical leave.

Other Conditions: The decision as to the acceptability of a sabbatical leave application will not be based on whether additional compensation may be received, but rather on the probability that the faculty member will enhance his or her value to SUS. A sabbatical leave for teaching elsewhere or working in research laboratories of industry or government may be approved if such activities can be expected to contribute significantly to the acquisition of useful ideas and practices. In no case will leave be granted primarily

for the purpose of augmenting the applicant's income. The benefit to SUS shall be foremost in the consideration leading to approval of the leave.

Annual Faculty Evaluation by Chairpersons: Faculty members on sabbatical leave will be included in the annual University evaluation process. The performance evaluation by the faculty member's chairperson shall reflect the faculty member's achievement of the stated purpose and goals while on sabbatical leave.

Obligations of Faculty Members: Any faculty member taking sabbatical leave has the following obligations.

- a. Sign an agreement or contract with the University stipulating that as a condition of the sabbatical leave, the faculty member will return to the active service of SUS for at least one year after completion of the leave. The signed agreement or contract is required for a faculty member's position to be held open for his/her return. Failure to return to the University for the requisite period will require repayment of all monies received from SUS, the sum of which will be deducted from the faculty member's terminal pay, last payroll check and/or through other legal means.
- b. Within six weeks after returning, submit to the departmental chairperson an original and four (4) copies of a complete report of his or her activities while on leave. The report should provide evidence that the purpose for which the leave was granted has been achieved. The copies shall be distributed to the Dean, Vice Chancellor for Academic Affairs, Chancellor of the respective campus and the chairperson of the SLEC.

Application for Leave: Six copies of an application shall be submitted to the SLEC, along with recommendations from the departmental chairperson and the dean. The application should present the benefits to be derived from the proposed leave by the applicant and SUS clearly and convincingly, and should be prepared with the care and thoroughness of a paper submitted for publication. The application should consist of the following.

- a. Cover Page. Include a title indicative of the proposed sabbatical activity, the period of requested leave, name and rank of the applicant, and signatures of the administrators attesting to their receipt and review of the application. Administrators may attach pertinent comments.
- b. Abstract. Maximum length: 250 words.
- c. Description of Proposed Sabbatical. Major headings should include: a detailed statement of what the applicant plans to do while on sabbatical leave; the objectives and significance of the proposed activities; the value of these activities to the applicant's SUS obligations; the feasibility and methods of accomplishing the objectives; and the applicant's qualifications that are pertinent to the proposed

activities. This section should consist of not more than five single-spaced typewritten pages.

- d. A Curriculum Vitae (not more than 10 pages).
- e. Appendix, include supportive documentation such as evaluation of the application by the departmental chairperson, dean and any other appropriate administrators; letters of acceptance from persons at the institution or in industry with whom the applicant plans to work or study and itinerary.

Rating System: The application will be rated by the SLEC according to the following system:

- a. Merit and feasibility of the proposal relative to the accomplishment of SUS's instructional, research, and service mission and/or that of its units - 60 percent.
- b. Applicant's record of and/or potential for engaging in research, teaching, service and/or other pertinent activity at SUS - 30 percent.
- c. Length of service to SUS - up to 10 percent. Each year of service, counting from the faculty member's initial appointment or from his or her most recent sabbatical leave, whichever is later is assigned a weight of one point, limited to a maximum of 10.

The committee will rate the applications according to the provisions herein and will make recommendations to the Vice Chancellor for Academic Affairs of the respective campus. The Vice Chancellor for Academic Affairs will approve or deny recommendations and forward approved applications for action by the Chancellor. The Chancellor's decision is final and there is no right of appeal. Applications approved by the Chancellor will be forwarded to the President of the System and the Board of Supervisors, as appropriate.

Deadlines: To give sufficient time for planning of sabbatical leaves, applications must be submitted according to the following schedule:

- a. October 15 for the next academic year or Fall or Spring semester of the next academic year.
- b. March 15 for the Spring semester of the next academic year (this period of application may be canceled if no funds are remaining after the awards are made in A. above).

The SLEC shall meet in November of each year to consider applications received by October 15 for the academic year beginning the following August and in April for applications received by March 15 for the following Spring semester. The SLEC's recommendations will be transmitted to the Vice Chancellor for Academic Affairs by the last day of the Fall and Spring semesters, respectively.

Criteria Used in Evaluating Sabbatical Leave Applications: Evaluation of the sabbatical leave application will include the following:

- a. Preparation and Documentation: Organization, thoroughness, specificity, and feasibility of the proposed activity; current status of project identified in the sabbatical leave application; letters of appointment and acceptance; other documents supportive of the proposal, and the applicant's plans for travel if that is an integral feature of the proposal.
- b. Benefits to SUS and to the Applicant: Contribution to applicant's knowledge and understanding; contribution to teaching or other assigned duties at SUS; publications or other scholarly works expected to result from the project; enhancement of the applicant's professional status; recognition for SUS and contribution to special projects or to SUS programs.
- c. Applicant's Record of or Potential for Research or Pertinent Activity at SUS: Publications; performances; grants; postdoctoral fellowships; leaves; participation in relevant professional organizations; record of achievement on previous grants and leaves; evaluation by departmental chairperson or dean; evidence of excellence in teaching, service, or other evidence of contribution to the University.

Changes in Sabbatical Leave: If a faculty member must change the purpose, place or time of the sabbatical leave, he or she must submit a written request, with recommendations from the dean and departmental chairperson, to the SLEC for approval. This request must state the rationale for the changes and document how the sabbatical leave plan will reflect these changes. Sabbatical leave plan changes recommended by the SLEC shall be sent to the Vice Chancellor for Academic Affairs for approval.

#### **4.12.2.C Annual Leave**

Annual leave is leave with pay granted to an employee for the purpose of rehabilitation, for restoration or maintenance of work efficiency or for transaction of personal affairs.

- a. Annual leave is earned by full-time and part-time academic staff members and by unclassified employees who are on fiscal year appointments.
- b. The amount of leave earned is based upon the number of years of full-time state service or equivalent.
- c. Leave is credited at the end of each calendar month in accordance with the following schedule:
  - (1) less than three years of service: at a rate of one day of annual leave per month, or the equivalent thereof in hours;
  - (2) at least three years but less than five years of service: at the rate of one and one-fourth days of annual leave per month, or the equivalent thereof in hours;

- (3) at least five years but less than ten years of service: at the rate of one and one-half days of annual leave per month, or the equivalent thereof in hours;
  - (4) at least ten years but less than fifteen years of service: at the rate of one and three-fourths days of annual leave per month, or the equivalent thereof in hours;
  - (5) fifteen or more years of service: at the rate of two days of annual leave per month, or the equivalent thereof in hours.
- d. No twelve-month unclassified employee shall be credited with annual leave for any overtime hours, for any hour of leave without pay, or while the employee is on leave with pay. Such leave as is earned by an employee on leave shall be credited at the time of the employee's return to active duty.
  - e. Accrued unused annual leave earned by an employee shall be carried forward to succeeding calendar years without limitation. Upon death, removal, retirement, or resignation, the employee or the estate of the employee may be paid for up to three hundred hours of accumulated annual leave.
  - f. Requests for annual leave of less than two months may be acted upon by the chancellor or by a designee of the chancellor. Requests for annual leave exceeding two months must be acted upon by the president of the Southern University System. Requests for annual leave for a period equal to a semester or more must also be approved by the Board of Supervisors. The minimum charge to annual leave records shall be one-half hour.
  - g. The chancellor, in consultation with the president, may require an employee under campus jurisdiction to take annual leave, provided the leave will not reduce the employee's accrued annual leave below the equivalent of thirty working days. The president may require an employee of the University who works at the system level to take annual leave, provided the leave will not reduce the employee's accrued annual leave below the equivalent of thirty working days.
  - h. Application Leave Form SU 628 (R/180) is used to request annual leave.

#### **4.12.2.D Sick Leave**

Sick leave is leave with pay granted an employee who is suffering from an illness or disability which prevents the performance of usual duties or who requires medical, dental, or optical consultation or treatment. Sick leave is granted each employee in accordance with policies approved by the Board of Supervisors, with relevant State Statutes, or with Civil Service regulations, whichever are applicable.

- a. The earning of sick leave shall be based on the equivalent of years of fulltime State service and shall be creditable at the end of each calendar month or pay period in accordance with the general schedule (See Section 4.12.B.3). If a

contract period is less than twelve months but not nine, ten, or eleven months, a proportionate rate shall be used.

- b. No academic employee shall be credited with sick leave for the calendar month of initial employment, during any calendar month in which the employee has been on leave without pay for ten or more working days, or while serving in the military forces. No classified or unclassified employee shall be credited with sick leave for any overtime hour, for any hour of leave without pay, or while on leave with pay. Sick leave as is earned by an employee on leave with pay or without pay will be credited to the employee at the time of return to active duty.
- c. Unused sick leave earned by an employee shall be carried forward to succeeding years without limitation. When an employee moves from one State agency to another, accumulated sick leave is forwarded to the receiving agency for credit to the employee.
- d. The minimum charge for sick leave for academic personnel shall be four hours (one half day). If the employee is away for more than a half day, leave shall be charged in hour increments to the nearest hour. The minimum charge for classified employees and for unclassified employees other than academic personnel shall be one half hour.
- e. If any employee has exhausted all sick, annual and compensatory leave, an appointing authority may advance sick leave in an amount not to exceed twenty-two working days.
  - (1) The value of any advanced sick leave which has not been repaid at the time of the employee's separation from service for cause other than disability, death, or retirement shall be withheld from the final pay check or repaid in cash to the appointing authority unless the employee is moving to another State agency, in which case the advanced sick leave shall be forwarded to the receiving agency.
  - (2) Upon separation caused by disability, death, or retirement, all advanced sick leave shall be cancelled.
- f. Upon death or retirement of an academic or unclassified employee, sick leave accrued shall be computed and the value thereof shall be paid to the employee or to the employee's estate.
  - (1) Such payment shall not exceed the value of twenty five working days.
  - (2) Computation shall be on the basis of a five-day week and four-week month for personnel not employed on twelve-month contracts; it shall be on the basis of a five-day week and fifty-two week year for twelve-month employees.

- (3) The rate of pay shall be the base rate the employee is receiving at the time of termination.

#### **4.12.2.E Maternity Leave**

Maternity leave is leave without pay granted an employee when pregnancy or postpartum condition of the employee prevents the performance of usual duties.

- a. An employee may use accrued sick leave or annual leave for maternity purposes.
- b. Use of sick leave or annual leave for a postpartum condition is limited to six weeks unless a physician certifies the employee's inability to return to work at that time.

#### **4.12.2.F Civil, Emergency, and Special**

An employee shall be given time off without loss of pay, annual leave, or sick leave when:

- a. performing jury duty;
- b. summoned to appear as a witness before a court, grand jury, or other public body or commission;
- c. performing emergency civilian duty in relation to national defense;
- d. the appointing authority determines that the employee is prevented by an act of God from performing assigned duties;
- e. voting in a primary, general, or special election which falls on a scheduled work day, provided not more than two hours leave shall be allowed an employee to vote in the parish where employed, and not more than one day to vote outside the parish where employed;
- f. participating in a State Civil Service examination on a regular workday or taking an examination administered by a State licensing board if the examination is pertinent to the examinee's State employment status; or
- g. the chancellor determines that because of local conditions or other reasons it is impracticable for employees to work.

Application Leave Form SU 628 should be executed to request civil, emergency, or special leave.

#### **4.12.2.G Military Leave**

Faculty members who are ordered into active duty with the armed forces for the United States, not to exceed fifteen (15) working days in one calendar year is entitled to leave of absence without loss of pay or other benefits. All days in excess of fifteen working days during a calendar year shall be leave without pay.

Individuals who are members of a reserve unit of the armed forces of the United States or of the National Guard shall be granted leave of absence without loss of pay, time, annual leave, or sick leave when ordered to active duty for field training or training.

- a. Normally, military leave for reservists or members of the National Guard shall not exceed fifteen working days in any calendar year. An appointing authority may grant a faculty member leave without pay for periods which exceed fifteen working days in a calendar year.
- b. A reservist ordered to active duty for an indefinite period of time in excess of field training is not eligible for leave with pay.

The request for military leave should be executed on Application Leave Form SU 628 (R/180).

#### **4.12.2.H Other Leaves**

Leaves may also be granted under the following conditions:

- a. When a faculty member is absent from work due to disabilities for which he/she is entitled to workmen's compensation, the faculty member may, in addition to receiving workmen's compensation payments, use sick and/or annual leave not to exceed the amount necessary to receive total payments equal to the regular salary of the employee.
- b. When a faculty member is injured in the performance of duty and because of such injury is unable to perform regular duties, the faculty member's appointing authority may, with prior approval of the Commissioner of Administration, grant such disabled faculty member leave of absence with full pay during the period of disability without charge against the faculty member's benefits.
- c. A faculty member will be given time off without loss of pay, annual leave, or sick leave when attending the funeral of a relative. Such time off shall not exceed two days on any one occasion. Relationship of deceased must be shown on funeral leave application. Funeral leave is limited, by law, for a parent, stepparent, child, stepchild, brother, stepbrother, sister, stepsister, spouse, mother-in-law, father-in-law, grandparent, or grandchild.

#### **4.13 Holidays**

Holidays shall be observed as provided by the University calendar, by R. S. 1:55:B, and by any proclamation issued by the governor of Louisiana.

#### **4.14 Outside Employment**

Faculty members shall not engage in outside employment which adversely affects job performance or brings discredit to the University in any way. No faculty member shall use a position within the University for personal gain through outside employment, nor may any faculty member use the name of the University to acquire an outside position.

#### **4.15 Teachers' Retirement System of Louisiana**

The Teachers' Retirement System of Louisiana (TRSL) serves thousands of active and inactive members, providing benefits to its retirees, survivors, and beneficiaries. TRSL is a self-funded state agency where TRSL members contribute a certain percentage of their salary to the System that is done on a pretax basis. Employers of TRSL contribute a percentage based on their employees' salaries to the System.

Unlike Social Security, TRSL members do not pay the old age portion of Social Security taxes and do not gain any Social Security retirement credits while working in a TRSL-eligible position.

TRSL provides a defined benefit retirement plan for its members and the benefit they receive is not determined by the amount of contributions they make to the System, but is determined by age, years of service, and highest average salary. The benefits are guaranteed for life by the Constitution of the State of Louisiana.

Member eligibility is based on full-time employees of parish and city school boards, except for bus drivers and maintenance personnel. In addition, full time unclassified public college, university, community college and technical college personnel hired after July 1, 1991 must become TRSL members. Unclassified positions include classroom teacher, professor, instructor, guidance counselor, principal, teacher aide, and school food service at a college/university, speech therapist, security guard at a local school board. Part-time employees are eligible if they have 10 or more years of retirement service credit.

Employees not eligible to join TRSL are: seasonal, temporary and part-time employees with less than 10 years of retirement service credit. School bus driver/aide/monitor, or bus attendant, school maintenance employee, classified employees at college/university, non-resident aliens-J or F visas are also ineligible.

Full and detailed information about policies and provisions of the Retirement System may be obtained from the University's Personnel Office or by writing to Teachers' Retirement System of Louisiana, Box 44123 Capitol Station, Baton Rouge, Louisiana 70804-4123, or by telephoning (225) 925-6446 in Baton Rouge.

#### **4.16 Evaluations**

Faculty Members – Faculty members shall be evaluated every year by the chairperson, peers and students. Results of these evaluations shall be placed in members' files in the dean's office and shall be made available to them upon request. Deans are annually evaluated by chairs, vice chancellor for academic affairs and students when they teach a class during the evaluation period.

#### **4.17 Faculty Evaluation by Students**

For the fall semester of each academic year, Faculty Evaluation by Students will be conducted in two classes for each full-time faculty member, and for each class taught by each part-time faculty member. The Planning, Assessment, and Institutional Research (PAIR) office/or equivalent office will generate evaluation forms (scantrons) for each class for which the evaluation of faculty by student is to be conducted. The faculty load report will be used for department chairs to identify two classes for evaluation. The mechanics and confidentiality of the administration of the evaluations would be handled at the departmental level according to established guidelines from the Office of Academic Affairs. Therefore, the major responsibility for coordination of the process rests with the department chair or her/his designee. PAIR will be responsible for distributing the evaluation forms (surveys) to each academic department. The colleges/schools and departments are responsible for ensuring that data collected are not compromised. The Office of Academic Affairs will collaborate with PAIR to facilitate and ensure a one hundred percent return of surveys, and conduct follow-up for any missing documents as required.

Specific Guidelines for Administration are listed below:

- The PAIR office will prepare the faculty load report after the 14th class day of the semester.
- The faculty load report will be transmitted to the Office of Academic Affairs during the 4th week of classes.
- The department chair will identify two classes for “faculty evaluation by student” for each full-time faculty member, and each class for faculty teaching fewer than three classes.
- The master roster of classes to be evaluated along with the number of evaluation forms (scantrons) required for each class will be transmitted to PAIR by the end of the 7th week of the semester.
- During weeks 8 and 9 of the semester, scantrons for the identified classes will be prepared, packaged, and labeled for distribution to departments.
- Student workers under the supervision of PAIR staff will deliver packets to deans who will distribute to chairs, who in turn will distribute packets to faculty.

- A control roster will be retained that includes the names and dates of distributions.
- Faculty members will receive student evaluation packages by the 10th week, and they will ensure that the evaluation is administered prior to the 14th week of classes (week of finals).
- The faculty member is charged with the responsibility of having the evaluation administered by a student who is enrolled in the class.
- The designated period for administration of the Evaluation of Faculty by Student is the 12th week of the semester.
- The faculty member will bring the evaluation packet to the class, turn the packet over to the student, and leave the classroom while the evaluation is conducted.
- The student will collect the evaluation forms, place them in a large brown envelope, seal it and sign her/his name over the seal.
- The student will return the sealed envelope to the department chair.
- The department (chair or designee) will acknowledge receipt of the evaluation package by signing and dating the control roster for classes evaluated.
- The colleges/schools will collect evaluation packets from departments in the unit. In each case a transmittal letter that identifies what was included would accompany packets.
- Student workers under the supervision of PAIR staff will retrieve packets from the Office of the Dean periodically during weeks 12 and 13 of the semester. Again, an accurate record of transactions will be kept.
- PAIR staff will prepare packets for shipping to an outside agency for analysis and provide a final report to the Office of Academic Affairs approximately 8 weeks after the collection of evaluation packets.
- Results of evaluation of faculty by student will be made available to individual faculty through her/his chairperson by the 9th week of the period following the semester for which the evaluation was conducted.

## CHAPTER V Faculty Personnel Matters

### 5.1 Salary Deductions

The standard deductions from the salary of a faculty member consist of federal and state income tax, payments to the State Teachers or other Retirement System, and group insurance premiums. Other deductions, at the faculty member's own request, are payments to the Southern Teachers and Parents Federal Credit Union, contributions to the United Givers fund, the Southern University System and Campus Foundations and to - charities approved by the University to the extent of warranting deductions, dues for the Faculty Senate and the Southern University Federation of Teachers, insurance and supplemental insurance premiums and benefits programs and payments for United States savings bonds.

### 5.2 Insurance

Group insurance, including health and life is available to all full-time University employees (working 75% - 30 or more hours per week – 120 or more consecutive days per year). The following persons may be enrolled as dependents:

1. employee's legal spouse;
2. employee's unmarried (never married) children under 21 years of age who are dependent upon employee for support;
3. employee's unmarried (never married) children age 21 or older, but less than 24 years of age, who are enrolled and attending classes as full-time students and who are dependent upon employee for support. (A full-time student is one enrolled in an accredited university, college, vocational, technical, or trade school or institute, or a secondary school, for the number of hours or courses considered to be full-time attendance by that school. **YOU MUST FURNISH PROOF OF FULL-TIME STUDENT STATUS OF A DEPENDENT EACH SEMESTER TO THE CAMPUS HUMAN RESOURCES OFFICE;**
4. natural born or legally adopted children of employee or spouse, dependent upon employee for support;
5. children who have been placed with employee's family for adoption, by agency adoption contract or by irrevocable act of surrender for private adoption, who are living in employee's household and are or will be included as a dependent on employee's federal income tax return for the current or next tax year;
6. other children for whom employee has been granted guardianship or legal custody who live in household and are or will be included as a dependent on employee's federal income tax return for the current or next tax year; and
7. grandchildren for whom employee does not have legal custody or guardianship, but who are dependent upon employee for support and whose parent is one of employee's covered dependents. The University pays a majority portion of the premium for health insurance as annually designated by the state, and one half of the premium for life insurance and the employee pays the other half. Included in the health coverage are comprehensive medical benefits, mental health and substance abuse and prescription drugs. Application

submitted after 30 days are subject to preexisting medical provisions or denial which may be imposed by the office of group benefits. For specific information regarding health coverage, see the plan documents of specific insurance providers in the Office of Human Resources. Insurance coverage is **NOT** automatic; **IT MUST BE APPLIED FOR WITHIN 30 DAYS OF EMPLOYMENT** in the Office of Human Resources. Coverage for each employee who completes the applicable Enrollment Form and agrees to make the required payroll contribution is to be as follows:

1. ***If employment begins on the first day of the month, coverage is effective the first day of the following month;***
2. If employment begins on the second day of the month or after, coverage is effective the first day of the second month following employment;
3. Employee coverage will NOT become effective unless the employee completes an application for coverage within 30 days following the date of employment. An employee who completes an application after 30 days following the date of employment will be considered an overdue or late applicant.

Confer with appropriate staff in the Office of Human Resources for information about the specific terms of coverage.

Group term life is available through the State Employees' Office of Group Benefits Program from a state of Louisiana designated carrier/provider. Eligible employees may choose Basic Life (\$5,000.00) or Basic Plus Supplemental Life Insurance (face amount of 1-1/2 times the employee's annual salary, rounded to the nearest \$1,000; maximum face amount of \$50,000 on the employee). The life insurance includes special payment provisions for cases of accidental death or dismemberment, up to the age of 70 when it ceases. Optional life insurance for employees is available through the Office of Group Benefits for one, two or three times the amount of the current basic plus carried by the employee up to a total of \$150,000. The full premium of the optional life insurance is paid by the employee. Optional dependent life insurance is also available. Other conditions for life insurance coverage and benefits may be applicable. Persons should contact the Office of Human Resources for information about applicable specific terms of coverage and cost of premiums.

### **5.3 Social Security**

Full-time, part-time, temporary and seasonal employees who are not participating in a qualifying public retirement system by their employer are mandatory covered by Social Security. State and local government employees hired after March 31, 1986, are subject to mandatory coverage of the Medicare-only portion of the Social Security tax.

If you worked for a federal, state or local government where you did not pay Social Security, the pension that you get based on that work may reduce your Social Security benefits. The benefits may be reduced in two ways: "government pension offset" and the "windfall elimination provision." The government pension offset affects spouses or widow (ers). The windfall elimination provision is based on how your retirement benefits were calculated and the formula used to figure your benefit amount is modified, giving you a lower Social Security benefit.

Students do not have to pay Social Security if enrolled at the University. If the student is not enrolled in classes during the summer, spring or fall, but employed at the University, he/she will have to pay Social Security.

#### **5.4 Pay Periods**

Payday is the last working day of the month for twelve-month employees. For nine-month employees - the category of most faculty members--pay day is the day (September through April) prior to the date the faculty is required to report to work in August. The December and May paydays are either Commencement day or the day on which a faculty member turns in his/her grades and meets other check-out requirements, whichever is latest.

For faculty members who work during the summer, there are two paydays--the first at mid-term in June, and the second at the end of the summer session in the same manner as the May payday for nine-month employees.

Maymester faculty members will be paid at the end of the term.

#### **5.5 Travel and Travel Reimbursement**

Professional travel is reimbursed on a funds available basis. Faculty members who wish to be reimbursed for professional travel shall submit a request for travel form two weeks prior to the date of the intended travel. In addition to the travel request form, a second form must be submitted to clarify who will cover (if any) classes that will be missed. The request for travel must be approved and notice given that funds are available in the budget designated to support the travel prior to the travel. A copy of this manual is normally issued to each new faculty member upon initial employment; however, copies are available upon request.

Faculty members must use a corporate card that is issued through Southern University for travel. This card is required for the reimbursement of all travel expenses. In addition, airline tickets must be booked through the State of Louisiana designated travel agency. Allowed travel expenses are reimbursed according to guidelines established by the State of Louisiana and Southern University. All faculty members who anticipate traveling must apply for the state's corporate credit card.

**NOTE:** Individuals who desire to drive their own vehicle to a professional meeting must attend a State of Louisiana mandated, Southern University-sponsored defensive driving program.

## **CHAPTER VI      Curricular Policies and Procedures**

### **6.1 Articulation**

Articulation agreements are signed by the Office of the Chancellor with various colleges and universities in the United States. Each Campus shall evaluate and determine the articulation of courses for credit from other institutions.

### **6.2 Accreditation of Degree Programs**

All academic programs that are eligible for accreditation by an accrediting agency and considered to be mandatory by the Board of Regents are required to be accredited for continual program approval to ensure the offering of quality programs (see Board of Regents policy 2.13 for list of mandatory agencies and Board of Supervisors Policy 1.00.06, effective 10/27/90). The Office of Academic Affairs oversees the accreditation of degree programs of the campus. The respective colleges, schools and departments are periodically reviewed and evaluated by their accrediting agencies. A comprehensive listing of all appropriate accrediting agencies and other significant data as well as the dates of last reviews can be obtained from the Office of Academic Affairs and the Office of Institutional Planning and Research. The SUNO website also provides a link for Accreditation under Academic Affairs

### **6.3 Academic Programs Review**

Academic Programs Review is a systematic program of review designed to examine all programs which are not accredited by an outside specialized accrediting agency, and where possible, evaluate the status of those which could become accredited in the future. Programs that are either not accreditable or not accredited by any accrediting agency are expected to conduct a self-evaluation at least once every five years in an attempt to maintain and ensure program quality (see, Board of Supervisors Policy 1.00.06, effective 10/27/90). With significant evaluation from faculty of the department, through a systematic process involving self-study presented as an annual report and other documents, a review committee composed of the Vice Chancellor for Academic Affairs, programs review director, and appropriate deans, chairs, and faculty representatives, conducts the program evaluation. External site reviewers are also used to objectively evaluate the programs. The goal is continuous quality improvement congruent with the University's academic and research goals. The Campus shall submit a five-year program review schedule for all such programs by September 15th of each year to the Office of the Vice President for Academic and Student Affairs for his/her record.

### **6.4 Establishment of New Degree Programs**

Requests for the establishment of new academic programs must follow the Louisiana Board of Regents Policies and Procedures 2.04 and 2.05. These policies and procedures are accessible at <http://regents.louisiana.gov/index.cfm?md=pagebuilder&tmp=home&pid=96>.

The proposal for a new academic program shall emanate from the department level with the approval of chairman and the dean of the college. The department's request for a new academic program should be submitted to the University-wide Curriculum Committee for review and approval. After receiving approval from the Curriculum Committee, the proposal is submitted in turn for approval to the Vice Chancellor for Academic Affairs, the Chancellor, the President and the Southern University Board of Supervisors.

After receiving the approval of the Southern University Board of Supervisors, the university must submit a request to the Board of Regents (BOR) for establishing a new academic program and administrative unit, as prescribed by the Guidelines above. Requests may be submitted at any time and a response will be given within ninety (90) days of the date of receipt.

### **6.5 Discontinuation of Academic Degree Programs**

The Board of Regents (BOR) encourages campuses and their management boards to initiate self-evaluation leading to the elimination of existing academic programs and administrative units which are underproductive or of marginal quality. Requests for elimination of existing academic programs and administrative units should consider the criteria outlined in the Guidelines: Proposal for New Academic Program and Guidelines: Proposed New Centers, Institutes, and Other Similar Academic/Research Units.

After receiving the approval of the Southern University Board of Supervisors, the university must submit to the BOR all requests for elimination of existing academic programs and administrative units, as prescribed by the Guidelines above. Requests may be submitted at any time and a response will be given within ninety (90) days of the date of receipt.

### **6.6 Residence Requirement**

A candidate for the baccalaureate degree must complete the last 30 hours of studies in residence at Southern University. Exceptions to this requirement are made in the case of a candidate who has completed a three-year, pre-professional curriculum at Southern University and who subsequently completes, in an accredited professional school, the academic requirements for the baccalaureate degree. A candidate may obtain the permission of the academic dean to complete six of the last 30 semester hours of work toward the degree at another institution. Additional information may be obtained from the Office of the Registrar.

### **6.7 International Student Exchange**

The Southern University Baton Rouge Campus has been approved to implement the Student and Exchange Visitor Information System (SEVIS) in working with international students. SEVIS is an internet-based system that enables the university to electronically transmit (tracking and monitoring) non-immigrant students' current data to the United States Citizenship and Immigration Services (USCIS), formerly INS. Under this regulation, an undergraduate student must register for at least 15 semester hours, and a graduate student must register for at least nine semester hours of course work in a degree or certificate program.

Information on the Student Exchange Program can be obtained from the Office of Admissions and the International Student Office. These offices can address issues related to: Maintaining Status, SEVIS Reporting Requirements, Grace Periods, Program Extensions, Regulations for F-2 Dependents, Change of Address, Change of Major, Transfers, Reduced Course Load, Dropping To Part-Time Enrollment Without Prior Approval, Failure And Consequences To Maintain Status, Reinstatement, and Employment In F-1 Status.

## **6.8 Waiver of Tuition for Non-Resident Students**

The eligibility for non-resident fee exemptions is set forth in the Administration and Fiscal Policies and Procedures Memorandum No. 35 (Revised, May 1998) for the Southern University System. Persons applying for a non-resident fee exemption must submit documents for the applicable eligibility category to the Office of Admissions prior to the beginning of the enrollment period in which they intend to enroll. Eligibility for exemption established following the beginning of the enrollment period shall be applicable for the next enrollment period.

The Administration and Fiscal Policies and Procedures Memorandum No.35 addresses fee exemptions for Undergraduate Students, Non-Resident Athletics Scholarship Recipient Exemption, Non-Resident Participation in the National Student Exchange Program and Graduate Assistants. An applicant who wishes to appeal a decision of the Admissions Office denying resident or exemption certification must submit a written appeal to the Office of Academic Affairs not later the 14 calendar days after notice of such decision is transmitted to the applicant.

## **6.9 Determination of Semester Hour Credit**

A semester hour is the term used to define the number of credits a student receives for a course taken during a semester. Credit hours are calculated in the following manner:

1 credit hour = 1 contact hour per week x 15 weeks

2 credit hours = 2 contact hours per week x 15 weeks

3 credit hours = 3 contact hours per week x 15 weeks

4 credit hours = 4 contact hours per week x 15 weeks

1 laboratory/studio credit hour = a minimum of 2 contact hours per week x 15 weeks

Regardless of delivery—evening, weekend, or by distance education, 15 contact hours or their equivalent = 1 semester credit hour is required. Faculty members use this information in course design and it is part of the course approval process for Southern University and A&M College.

## **CHAPTER VII      Instructional Policies and Procedures**

### **7.1      University Calendar**

Commencement is generally held annually in May.

### **7.2      Expectations of Faculty Members**

#### **7.2.1      Conduct of Classes**

All faculty members are expected to adhere to the following guidelines:

1.      Meet their classes regularly and promptly as scheduled.
2.      Provide department chairpersons and their students in each class with syllabi at the beginning of each term. Syllabi should include instructional methods, objectives, grading criteria and attendance policy and office hours.
3.      Ensure that course instruction conforms with stated objectives and correlates with course descriptions found in the University catalog.
4.      Submit all mid-semester and final grades on time.
5.      Evaluate all student work promptly and provide students an opportunity for review of submitted work.
6.      Retain final papers and other work supporting a grade issued to a student for at least six weeks after the beginning of the next term or longer when an appeal has been filed.
7.      Announce, post, and maintain a suitable number of conference hours which are convenient to students and the teacher.
8.      Maintain accurate records of class attendance by all students.
9.      Advise assigned students in accordance with University policy.

#### **7.2.2      University and Community Service and Professional Responsibilities:**

1.      Continue their professional growth and development.
2.      Participate in the advancement of their department/division, college and university by:
  - attending scheduled meetings
  - serving on committees (department, college and university)
  - rendering community services, and
  - engaging in research and scholarly activity

3. Notify their department/division chairperson as soon as possible in cases of emergency so that appropriate arrangements can be made for their classes.
4. Execute appropriate leave forms for all planned and emergency absences in a timely manner.
5. Sign and certify payroll information and documentation.

### **7.3 Part-time Faculty**

**Definition:** A part-time faculty member is one whose appointment is any percentage of assignment that is less than 100 percent time.

#### **7.3.1 Guidelines:**

1. Part-time faculty members teaching courses for credit must meet the same requirements for professional, experiential and scholarly preparation as their full-time counterparts teaching in the same discipline.
2. Chairpersons in the respective disciplines are responsible for the orientation, supervision and evaluation of all part-time faculty members. Chairpersons should also ensure that part-time faculty are provided appropriate instructional support.
3. Part-time faculty members must hold office hours commensurate with the percentage of time employed or as specified by the department chairperson. Office hours must be held on-campus and at appropriate times to ensure student access.
4. Chairpersons will assign office space as appropriate for part-time faculty members to carry out their academic responsibilities during the term of appointment.
5. Part-time faculty members will receive letters of appointment.
6. Compensation for part-time faculty members will be determined for each College or School by the Dean and Chairperson in consultation with the Vice Chancellor for Academic Affairs.
7. Part-time faculty appointments may be for one semester or one academic year at a time.
8. During the term of an appointment, part-time faculty members will enjoy library privileges, the use of faculty parking facilities, and the use of other University facilities in accordance with University practice and policy governing such use by the faculty.

## **7.4 Expectations Regarding English Proficiency of Faculty**

It is the responsibility of the University to demonstrate that all of its faculty members and teaching assistants, particularly those for whom English is not their native language, have communication skills adequate to make effective classroom presentations. Additionally, SACS will review records asserting that all faculty members and teaching assistants use English that is clear, concise and readily understood by the general population, particularly students. Formal assessment of proficiency procedures must be established for potential members of the faculty, and for faculty members and teaching assistants currently employed. In general, all faculty members and teaching assistants must use easily understood standard English in their oral and written presentations. The deans will ensure that the requisite language assessment has been completed using the following procedure.

The dean will identify faculty members who are in need of improving their English proficiency.

The Vice Chancellor for Academic Affairs shall appoint a language assessment panel. The panel's membership will be composed of three faculty members, a member of the Faculty Senate, a member of the dean's council, a representative from the Office of Academic Affairs and three students.

Faculty members determined by the assessment panel as needing to improve their English proficiency shall be referred to the Center for Excellence in Teaching and Learning.

The following English Language Assessment policy statement shall be included on all faculty and teaching assistant vacancy announcements, as well as on other appropriate personnel materials, "Applicants who are non-native English speakers will be screened for English language proficiency."

## **7.5 Definition of Teaching Loads**

### **7.5.1 Teaching Load**

#### **1. Regular Instructional Staff**

##### **a. Fall and Spring Semesters**

During the fall and spring semesters, the normal teaching load is, at least, twelve credit hours depending on the campus internal policy on faculty loads, for persons engaged in undergraduate instruction only; nine (9) credit hours for persons teaching undergraduate and graduate courses; and six credit hours for persons engaged in doctoral level instruction only. Exceptions to the above policy will be made individually for professors in disciplines that produce more contact hours than credit hours, departments of instruction where teaching loads are specified by accrediting agencies, released time, and in those instances where the University's mission can best be achieved by assigning fewer hours.

##### **b. Summer Sessions**

During Maymester, the four and eight-week sessions, the maximum teaching load is a total of twelve undergraduate and nine graduate credit hours. Exceptions to the above policy will be made individually for professors in those disciplines that produce more contact hours than credit hours.

## 2. Chairpersons

Chairpersons will normally be credited with a 50% teaching load reduction for assuming the duties and responsibilities of chairing a division or department; but for the summer term, the normal teaching load is three credit hours.

## 3. Reduced Teaching Loads

Chairpersons, division heads, and members of the faculty conducting special University sponsored projects, research and programs or who are performing other special University or University-related assignments beyond those normally expected may be approved for or granted a reduced teaching load by the academic dean or division head in consultation with the chief academic officer of the campus. The projected duration and nature of the involvement shall figure heavily in such decisions.

### **7.5.2 Overload**

A full-time member of the faculty or research staff is authorized to teach only one course (3 to 4 credit hours) on or off-campus each semester, above what is considered to be a normal full-time teaching load for the faculty member. This policy also pertains to Southern University faculty who teach courses at other institutions. Persons employed full-time by agencies external to the University and whose services are made available to the University are authorized to teach only one course (3 to 4 credit hours), on or off-campus each semester. Exceptions may be authorized by the Vice Chancellor for Academic Affairs as deemed necessary in extenuating circumstances. Requests for exceptions shall be forwarded by the College Dean.

### **7.6 Office Hours**

At the beginning of each term, faculty members (in consultation with their department chairs) are expected to establish and be available for a determined number of office hours each week for conferences with students. At a minimum, however, each faculty member is expected to be available in his/her office two hours for each class taught or eight hours spread over four days per week. The scheduled office hours as approved by the chair should be announced to the students in each class and posted on the faculty member's office door and/or website of the department.

### **7.7 Opening-of-School Activities**

All faculty members are required to attend the opening convocation and other scheduled pre-school activities each semester.

## **7.8 Class Syllabus**

Faculty members must provide their department chair and the students in each of their classes with syllabi at the beginning of each term. As a minimum, syllabi should include instructional methods, learning objectives, grading criteria and attendance policy.

## **7.9 Class Periods**

Normally, classes which meet during the regular academic day (8:00 a.m. to 5:00 p.m.) are held for fifty minutes on Mondays, Wednesday, and Fridays and for seventy-five minutes on Tuesdays and Thursdays. Laboratory and special classes, including evening and weekend classes, may follow a different schedule. Classes usually begin at the time listed in the printed schedule and end ten minutes before the next class period begins. Instructors should vacate their classrooms within five minutes after the period ends.

## **7.10 Class Locations**

Class locations are scheduled by the Office of Academic Affairs. Classes should be held in the classrooms designated. If there is a need to change the location of a class, it should be done only with the approval of the Office of Academic Affairs.

## **7.11 Class Attendance**

Faculty members are expected to conduct their classes as scheduled, regularly and promptly. Faculty members should notify their chairpersons as soon as possible when they are going to be absent from class. Faculty members shall ensure adequate coverage of their classes during absences.

## **7.12 Class Records**

Accurate records of all students' attendance, scores and grades should be maintained and submitted to the department chairperson at the end of each term. Chairs are responsible for circulating class rolls to each instructor at the beginning of each semester and again after the 14<sup>th</sup> class day. Students whose names do not appear on the 14<sup>th</sup> day class roll should be advised to complete the enrollment process prior to returning to class.

## **7.13 Examinations**

### **7.13.1 Final Examinations**

Faculty members administer final examinations in accordance with the University calendar. The schedule and regulations for the administration of final examinations are published with the semester class schedule. Faculty members may not alter the examination schedule without the consent of the vice chancellor for academic affairs except in the case of graduating seniors.

### **7.13.2 Other Examinations**

Other examinations may be administered by the teacher during class periods as a part of students' evaluation. Faculty members should administer a sufficient number and variety of examinations to make a fair evaluation of a student's performance possible.

### **7.14 Make-Up Work**

Any student who presents an excuse for absences for participation in University sponsored events will be given the opportunity to complete any required assignments or exams that were missed. Any student who presents an official excuse for any other absences will be allowed to make up the assignment or exam in accordance with the policy listed in the course syllabus for that class.

### **7.15 Grades**

#### **7.15.1 Grading System**

The University uses the following system of grading: "A"-exceptional; "B"-above average; "C"-average; "D"-below average; "F"-failure; "I"-incomplete; "W"-withdrawal. The grade of "P" is used on the permanent records of undergraduate students to indicate satisfactory completion of non-traditional courses, undergraduate departmental comprehensive examinations, writing proficiency tests, and computer literacy examinations, or to indicate that students have successfully earned credit. "AU" will be given for auditing a course; however, no credit will be given. Credit for any course in which a student has received a grade of "F" can be obtained only by repeating the course and earning a passing grade.

#### **7.15.2 Grade Reports**

Mid-term and final semester grades are recorded on grade sheets provided by the office of the registrar. These grades are reported to the office of the registrar in accordance with an established and announced schedule. Copies of grade reports shall be transmitted to the dean of the college/school and to the chairperson of the department.

#### **7.15.3 Roll Books or Computer Grade Sheets**

Faculty members are required to turn in their roll books or computer grade sheets to their department chair at the end of each semester and summer term. The department chair is responsible for maintaining these roll books or computer grade sheets for at least three years (six semesters).

### **7.16 Deadlines for Dropping and/or Adding a Class**

The 14<sup>th</sup> day of class is the last day to register and add a course for credit. The deadline for withdrawing from classes and the University is posted in the University Catalog.

### **7.17 Incomplete Grades**

Academic work which is of passing quality but because of extenuating circumstances is not complete, may be graded “I”-Incomplete. Students must initiate an incomplete grade request and must secure appropriate approval of the excuse from the instructor, department head and dean of the college in which the course is taken. If an excuse is not received prior to issuing a final grade, the instructor is to consider the delinquent work to be of failing quality and an “I” grade should not be given. A grade of “I” becomes a grade of “F” if not removed by the end of the first six weeks of the following semester, if the student is in residence; or within one year, if the student is not in residence. The grade of “I” shall not be calculated in the cumulative grade-point average for retention purposes. Graduating seniors are not permitted to receive “I” grades. The instructor must submit the proper “Incomplete Grade Report” form and file the form with the Office of the Registrar when the “I” grade is submitted for recording. Copies of the grade shall also be filed in the office of the faculty member’s department.

### **7.18 Change of Grades**

Any change of grade must be initiated by the instructor on the required form available in the Office of the Registrar. Such changes require the approval of the department head and the dean of the instructor's college before the registrar will accept and make the change on the student's record. It is the policy of the Council of Deans that deans approve grade changes only when an error has been made. Any grade change must be received in the office of the registrar within sixty days from the start of classes in the semester immediately following the grade period (semester or summer session) in which the grade was given.

### **7.19 Validation of Grades**

The Registrar shall submit grade verification report to each faculty member for all classes taught by the 10<sup>th</sup> of the following academic period. Faculty members shall review the recorded grades and return the signed verification with any documented corrections to the Registrar who shall correct the grades as applicable. Copies of the verification form will be filed with the department chair and the dean.

### **7.20 Faculty Evaluation by Students**

Each college and department is responsible for implementing established university procedures for student evaluation of instruction. The primary purpose of this evaluation by students is to improve instruction. The results of these evaluations may be used, along with other information, in decisions regarding retention, tenure, promotion, and discretionary salary increases.

### **7.21 Recognition of Outstanding Achievement by Faculty**

Annually, the University provides an opportunity for faculty to be nominated from each department/division/school/college in the following categories: teaching, research, and service. Persons nominated are recognized during the University’s Annual Faculty Awards and

Recognition ceremony. In addition, faculty members are encouraged to notify the Office of Academic Affairs of all external recognitions received on a monthly basis.

### **7.22 Faculty Exchange Policy**

Eligible faculty must secure approval from their Dean and the Vice Chancellor for Academic Affairs to participate in a faculty exchange program prior to submission of an application. The terms and conditions of the exchange program shall be fully revealed prior to the exchange approval being finalized.

### **7.23 International Scholar**

#### **J-Visas – Exchange Visiting Faculty**

Faculty in the Exchange Visitor J-Visa category must obtain the necessary approval prior to being offered employment by the University. Incoming faculty members must comply with current immigration regulations and the University's policies and procedures.

#### **H-1B – Exceptional International Faculty (TBA – Human Resources Office)**

Faculty in the Exceptional International Faculty category must obtain the necessary approval prior to being offered employment by the University. Incoming faculty members must comply with current immigration regulations and the University's policies and procedures.

### **7.24 Check-Out Procedures**

At the end of each semester and summer term (if applicable), each faculty member will complete the check-out form and submit it to the department chairperson. At the time of separation from the University, each faculty member must submit a completed check-out form to the offices of academic affairs and human resources. Forms are available in the department offices and the office of human resources. Satisfactory completion of the clearance form is required before the final payroll check for the period will be issued.

### **7.25 Redress to Grievances**

It is the intent of the Southern University System to provide each unclassified employee with access to an administrative procedure to seek redress to grievances in employment-related matters. The employee may use the procedure to appeal decisions considered to be unfair or discriminatory because of the application of some non-meritorious factor, charges of incompetence or unsatisfactory performance of duties or other similar allegations. It is the purpose of this grievance procedure to establish this means for securing prompt and equitable solutions to such grievances of faculty, including adjunct faculty members and other unclassified employees.

It will be the right of each unclassified employee of the University System to seek redress to grievances in matters resulting in decisions considered to be unfair or unfounded, charges of incompetence or unsatisfactory performance of duties, and other similar allegations. It is the purpose of this grievance policy and procedure to secure prompt and equitable solutions to the grievances of faculty, including adjunct faculty members and other unclassified employees.

**7.25.1           Unclassified Employees are:**

1.     Administrative officers and professional staff and positions specifically exempted from the classified service under Article X, Section 2(B) of the Constitution of Louisiana.
2.     Other positions exempted from the classified service by specific actions of the State of Louisiana, Department of Civil Service.

A grievance may be filed, with a right to appeal through the level of the Board of Supervisors, by any unclassified employee of the Southern University system who alleges:

1.     being discriminated against or subjected to disciplinary action because of his/her political beliefs, religion, marital status, sex, race, handicap, national origin, membership or non-membership in a private organization or other non-merit factor;
2.     being subjected to any disciplinary action, removed from a position, deprived of a right, discriminated against or adversely affected because of the violation or application of any provision of the Board of Supervisors' Bylaws or Regulations, or Board approved and other University policies, procedures and/or regulations;
3.     having an expressly granted right to appeal a matter through the level of the Board of Supervisors by any rule, policy, or procedure established by the Board of Supervisors in its Bylaws, Regulations and/or approved Board of Administrative - policy statements or procedure that are applicable in the Southern University System;
4.     being discriminated against by any official action taken by the System President of Campus Chancellor;
5.     being demoted, dismissed, discriminated against or subjected to disciplinary action for a cause that is stated or implied in the notice of assessment of a disciplinary action;
6.     being subjected to a layoff or layoff avoidance in violation of a provision of a Board of Supervisors' approved layoff plan or layoff avoidance measure for unclassified employees.

A grievance may not be filed under the grievance procedure to appeal an employment related matter that has been considered by another University committee has responsibility for the matter and the outcome is applicable to the Board of Supervisors under another policy or rule or appeal the non-renewal of a probationary or temporary employment contract or appointment unless it is applicable under number 1 of this provision.

### **7.25.2 Faculty-Staff Grievance Committee**

The Chancellor will appoint the Faculty-Staff Grievance Committee, which will be composed of faculty and staff known for their objectivity, competence, and the regard with which they are held in the academic community. Consideration will be given to selecting faculty members who are broadly representative of the diversity within the University, including differing colleges, tenure status, gender and race.

The Chancellor shall appoint five (5) faculty members and three (3) unclassified (non-faculty) employees, including the Director of the Personnel Office as an ex-officio, non-voting member. The Executive committee of the Faculty Senate shall nominate two (2) of the five (5) faculty members. The seven voting members shall be appointed for a term of two (2) years, except that three of the first appointments shall be appointed for a term of one (1) year.

Recusal of a Grievance Committee member for a particular case may be granted because of a conflict of interest. In the event of recusal, the Chancellor shall appoint a replacement to hear that grievance after consultation with the Chair of the Grievance Committee and the President of the Faculty Senate in the case of recusal of one of the appointees nominated by the Faculty Senate.

## **7.26 Discrimination/Harassment**

### **7.26.1 Non-Discrimination**

It is the policy of Southern University that the workplace and classroom are for work and learning. It is the University's goal to provide a workplace and classroom free of tensions involving matters that do not relate to Southern University's business or the learning process. In particular, an atmosphere of tension created by ethnic, racial, sexual or religious remarks or animosity or unwelcome sexual advances does not belong in the workplace or the classroom. Ethnic, racial, religious or sexual considerations shall not be used as the basis for employment or grade decisions or for other actions affecting employment or student status. Where any verbal or physical conduct unreasonably interferes with any person's work or class performance or creates an intimidating, hostile or offensive work or class environment, the offended person is urged to notify the Director of Human Resources of their respective campus. All inquiries will be held in the utmost confidence, but the matter will be investigated and dealt with expeditiously. (Refer to APPENDIX J for more details; also Employment Guidelines and Non-Discriminatory Employment Policies and Procedures publications available in the Office of Human Resources).

### **7.26.2 Freedom from Sexual Harassment**

Sexual harassment is prohibited at Southern University (APPENDIX J). Any employee or student will be subject to disciplinary action if found to be in violation of this policy.

The Southern University System is committed to ensuring that the work, classroom, study, and social environments on its campuses are free of sexual harassment. Toward that end, should any incidents occur, the University provides a means by which students, staff, and faculty may seek recourse.

### **7.26.3 Drug Free Work Place**

Pursuant to the Drug Free Workplace Act of 1988, Southern University reaffirms and emphasizes its commitment to provide a professional working and learning environment that is free of substances. The use, possession, dispensing or manufacturing of illegal substances and/or the abuse of controlled substance is prohibited. All proven cases of violations of this policy shall result in appropriate disciplinary action.

### **7.26.4 Smoke Free Working Facilities**

Southern University campuses enforce the body of public policies of the State of Louisiana enacted by the Legislature (Section I, Part XLII of Chapter 5 of Title 140 of the Louisiana Revised Statutes, comprised of R.S. 40:1:1300.21 through 1300.21 and Part XLIV of the same chapter, comprised of R.S. 4:1300.41 through 1000.47), as well as the 1994 Resolution of the Southern University Board of Supervisors pertaining thereunto. Thus, all buildings on the campuses of Southern University are designed as SMOKE-FREE and smoking therein prohibited; and as SMOKELESS TOBACCO-FREE, and the use therein of any tobacco product is prohibited.

## **7.27 Firearms**

It is illegal for an individual to carry a firearm on the campus of an educational institution. Therefore, possession or use of firearms, any type of ammunition, and other dangerous weapons, such as knives or clubs, is prohibited on any property of Southern University. This does not apply to peace officers whether or not they are engaged in the actual discharge of their duties while carrying a weapon.

## **7.28 Auditing Courses**

Members of the faculty may with the consent of the instructor, audit courses without registration or payment of fees. Auditing grants the privilege of hearing and observing only and does not provide university enrollment or credit. The degree of class participation is up to the individual instructor.

## **7.29 Commencement and Awards Ceremonies**

Faculty members are encouraged to participate in at least one commencement exercise per academic year dressed in full academic regalia. Faculty members are also encouraged to participate in summer commencement exercises and the University's annual awards ceremonies.

### **7.30 Textbook Selection Policy**

To achieve the goal of academic excellence in the classroom, textbooks and supplemental materials selected for use in the Southern University system shall, to the extent possible, adhere and conform to the following standard of quality and use:

1. The textbook content shall sufficiently and consistently cover the scope and depth of the course for which it is to be used.
2. The textbook selected must be current and the content such that it will achieve the desired outcomes and objectives set forth in the course syllabi.
3. The textbook must contain pertinent, supportive information that is of measurable quality which is within acceptable standards and contribute to achieving the scope and depth set forth for the course in which it is to be used.
4. In selecting textbooks for currency, attention must be given to educational reform, knowledge and technological developments in the discipline to insure that the textbook content is relevant and useful for achieving the described course outcomes and objectives.
5. The price of textbooks should be given serious consideration that addresses both the interests and the financial circumstances of the students.
6. Machine reproduced copies of text materials to be used in the classroom as supplemental materials must adhere to the same quality and standards as set forth herein for published textbooks and must be used within legal requirements, such as copyright laws determined by prevailing state and federal mandates.

Faculty members at Southern University are encouraged to become authors of textbooks and other learning resources which might prove beneficial to students. In addition to student benefits, widely adopted textbooks represent a legitimate form of scholarship and can contribute to the positive image of a university. In cases where the author receives royalties or profit for textbook authoring, the university is obligated to ensure that there is no conflict of interest in the preparation of a manuscript or in the adoption of the textbook itself.

Textbooks and other materials authored by Southern University faculty shall be utilized in course instruction only after it is approved through the textbook selection process. Faculty members are barred from selling instructional materials to students. All instructional materials must be sold and purchased through the Southern University Bookstore.

This policy on textbooks also applies to software and other learning resources which provide financial benefit to the faculty member. It is within a faculty member's academic freedom to use not-for-profit materials without obtaining prior approval.

## **7.31 Non-Class Activities**

### **7.31.1 Student Extracurricular Activities**

Faculties are encouraged to serve as sponsors for student organizations and to assist with student activities within the framework of approved purposes of the University.

### **7.31.2 Recommendations Written on Behalf of Students**

The Federal Parents and Students Rights to Privacy Act, effective January 1, 1975, permits the student to open and have available anything written (e.g., evaluation forms, letters) regarding the student. Students may, however, sign a waiver (that is, waiving his/her right to review such information), and only in this case will the information provided by the faculty member be considered confidential. If this information is to be regarded as confidential, be certain that this waiver has been signed in advance.

### **7.31.3 Acceptance of Money from Students**

Faculty members are not to accept money, for any reason, from students associated with the University without prior approval from the administration. Faculty members are not to sell or charge for any educational materials or services. This also includes not engaging in business ventures. All fiscal matters should be directed through the Office of the Vice Chancellor for Administration and Finance of the respective campus within the System.

### **7.31.4 Louisiana Ethics Law**

The State of Louisiana Code of Governmental Ethics restricts payments from non-public sources to public employees for the performance of the duties and responsibilities of his/her office or position. This does not apply to work other than official duties and responsibilities which are accomplished on the employee's own time. Copies of the ethics code may be obtained from the Louisiana Secretary of State's Office.

## **CHAPTER VIII      Research and Creative Activity Policies and Procedures**

### **Institutional Research**

Where appropriate, each campus shall establish an Institutional Review Board (IRB) charged with the authority to provide oversight for research involving (a) human subjects, (b) animals, (c) biohazards, and (d) recombinant DNA. Each type of research is governed by the subcommittee of the IRB to ensure that local, state and federal guidelines are enforced.

#### **8.1 Committee for the Protection of Human Subjects**

Federal regulations mandate that all research involving human subjects must be reviewed and approved by an Institution Review Board (IRB). The institution's IRB has the authority to approve, require modification in or disapprove all research activities, including proposed changes in ongoing, previously approved, human subject research. In addition, it has the authority to terminate the approval of ongoing, previously approved research that is not being conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to subjects. Thus, the purpose of IRB is to review and ensure that all research involving the use of human subjects adheres to the Federal regulations on protection of human subjects (Code of Federal Regulations, Title 45, Part 46 and the Belmont Report) and that the rights and welfare of the subjects are adequately protected.

While it is true that some research activities involving the use of human subjects are exempted from federal regulations, this decision is only to be made by the IRB not principal investigators or faculty advisors of student research. For both exempt and nonexempt research, any change(s) in methodology, protocol, or number, category or method of selecting subjects must be approved by the IRB before it takes place. To request a change, the principal investigator or faculty advisor of student research must file an application for a continuation review.

Faculty members are strongly encouraged to become knowledgeable of their responsibilities in and Federal regulation on the use of human subjects in research. Information on these topics may be obtained by going to: <http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>

#### **8.2 Institutional Animal Care and Use Committee**

The Southern University System endorses the use of animals for research and educational programs that enhance the health and well being of humans and animals. However, the use of animals in teaching, research or service is a privilege. Such use carries unique professional, ethical and moral obligations. Responsibilities to the animals include clean and adequate holding facilities, availability of proper food and water, trained animal maintenance personnel, appropriate veterinary care and appropriate use of anesthetics, analgesics and other comfort materials.

The Public Health Service of the U.S. Department of Health and Human Services requires that all institutions carrying out research, research training, experimentation, biological testing and teaching involving live vertebrate animals supported by the PHS adhere to the PHS Policy on Humane Care and Use of Laboratory Animals. Each institution is required to have an

Institutional Animal Care and Use Committee (IACUC) that reviews all research and teaching protocols involving animals. At least once every six months, the IACUC reviews the institution's program for humane care and use of animals and inspects all of the institution's animal facilities. The IACUC is also responsible for providing training for those working with animals and establishing a mechanism for receipt and review of concerns involving the care and use of animals at the institution. The aim of the IACUC is to facilitate research and teaching programs while ensuring adherence to sound animal management and care practices. Investigators planning to use animals in research or teaching are required to attend training before they start. In addition, before such research can be carried out, a detailed protocol must be reviewed and approved by the IACUC. No animals can be ordered nor can research or teaching with animals be started without IACUC approval and, if the research is not carried out in accordance with the approved protocol, the IACUC has the authority to suspend the project until it is in compliance

### **8.3 University Biohazards Safety Committee**

Biohazardous materials is a broad category that takes into account radioactive sources, blood borne pathogens, toxic chemicals, biological poisons, etc. The environment for faculty, students and staff. In performing its role the committee helps to maintain the University's compliance with federal guidelines regarding the safe use of biohazardous materials. BSC also (a) reviews research and teaching applications for compliance with established federal, state and local standards for safety; (b) develops and maintains documentation for safety procedures and protocols for the safe handling, storage, disposal and cleanup; (c) serves as a source of advice to researchers and supervisors and administrators on the safe use of biohazardous materials; and (d) remains up-to-date regarding the evolving awareness of potential dangers of biohazardous materials.

### **8.4 Institutional Recombinant DNA Research Committee**

The Institutional Recombinant DNA Research Committee is charged with ensuring and reviewing proposed and current recombinant DNA research conducted at or sponsored by Southern University for compliance with NIH Guidelines and approving those projects that comply with the Guidelines. The review shall include: (i) assessment of the physical and biological containment levels required by the NIH Guidelines for the proposed research; (ii) assessment of the facilities, procedures, practices, training and expertise of the personnel involved in the recombinant DNA research; (iii) assurance that the Principal Investigator is familiar with the current NIH Guidelines and agrees to abide by the stated provisions; and (iv) ensuring compliance with all surveillance, data reporting, and adverse event reporting requirements as set forth in the NIH Guidelines.

Complete NIH Guidelines for Research Involving Recombinant DNA Molecules can be accessed at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-052.html>. Individuals conducting research involving recombinant DNA at Southern University must adhere to these guidelines, irrespective of the research- funding source. Compliance with the Guidelines is mandatory.

NOTE: More detailed information for each component can be procured from the chairperson of each subcommittee.

## **8.5 Policy and Procedures for Possible Misconduct in Science/Academics and Plagiarism**

All allegations of misconduct in science/academics shall be submitted on a form specially prepared by the Office of the Vice Chancellor for Academic Affairs of the respective campus. This form should be signed by the person making the allegation and submitted to the Chairperson of the department concerned with copies forwarded to the dean of the appropriate colleges/schools and the vice chancellor for academic affairs. The chairperson of the department concerned, the dean and the vice chancellor for academic affairs shall protect the confidentiality of the report. Within five (5) days of receipt of the allegation, the chairperson must forward the letter or form of allegation together with his/her comments and a signed Certification of Confidentiality to the dean. Within two (2) days of receipt of the said documents, the dean should sign the Certification of Confidentiality and forward it with the documents and his/her comments to the vice chancellor for academic affairs. Upon receipt of the documents, the vice chancellor for academic affairs, in conjunction with the dean and the respective department chairperson, will initiate an inquiry into the allegation. When an allegation of misconduct has been made, an inquiry to determine whether the allegation warrants an investigation will be made immediately. Such inquiry, including a written report, will be completed within 60 days of receipt of the allegation. The report shall state what evidence was reviewed, summarize the relevant interviews and include the conclusions of the inquiry. The individual(s) against whom the allegation was made shall be given a copy of the report of inquiry. If they comment on that report, their comments may be made part of the record.

All documents relative to the inquiry and the final report will be maintained on file with the vice chancellor for academic affairs for at least three years. Such documentation will be made available to authorized Health & Human Services (HHS) personnel upon request.

If the initial inquiry indicates that a full investigation is warranted, the vice chancellor for academic affairs shall, within 30 calendar days of completion of the inquiry, initiate such an investigation.

The vice chancellor for academic affairs shall notify the chancellor to inform the director of the Office of Scientific Integrity (OSI) in writing prior to the initiation of an investigation. The notification shall include the name(s) of the person(s) against whom the allegation(s) have been made, the general nature of the allegation(s), the Public Health Service (PHS) application or grant numbers involved, and any other pertinent information. An investigation should ordinarily be completed within 120 days of its initiation. This includes conducting the investigation, including the holding of hearings as applicable; preparing the report of the findings, making the report available for comment by the subjects of the investigation, and submitting the report to the OSI. If they can be identified, the person(s) who raised the allegation should be provided with those portions of the report that address their role and opinions in the investigation.

The vice chancellor for academic affairs, along with the dean, the president of the Faculty Senate, and the chairperson of the Research Council of the campus shall select persons to conduct the investigation who are impartial and have expertise in the relevant fields.

Care shall be taken to avoid any real or apparent conflicts of interest or partiality in the appointment of the investigative team or in the conduct of the investigation. If such conflicts arise or become known during the course of the investigation, the person(s) involved will be removed from the investigative team by the vice chancellor.

At all stages, to the greatest extent possible, steps will be taken to maintain the confidentiality of the investigation and to protect the interests of the persons making the allegation(s) and those against whom the allegation(s) have been made. Persons involved in the investigation will be required to sign a confidentiality agreement. This shall also apply to any secretarial or clerical staff who may be involved. During inquiries or investigations, persons against whom allegations have been made shall be interviewed by the investigative team and allowed to comment on the allegations. They shall also be provided with copies of the reports resulting from the inquiry or investigation and allowed to make written comments, which shall become a part of the documentation of the inquiry or investigation.

If any reasonable evidence of possible criminal violation is found during an inquiry or investigation, the director of OSI will be notified within 24 hours by the chancellor. Such notification will also be provided if, at any stage of the inquiry or investigation, it is found that any of following conditions exists:

- i. There is an immediate health hazard involved;
- ii. There is immediate need to protect federal funds or equipment;
- iii. There is an immediate need to protect the interests of the person(s) making the allegations, or of the individual(s) who is the subject of the investigation as well as his/her co-investigators and associates, if any;
- iv. It is probable that the alleged incident is going to be reported publicly;
- v. If any developments disclosed during the course of the investigation reveal facts that may affect current or potential Department of Health and Human Services (DHHS) funding for the individual(s) under investigation or that PHS needs to know to ensure appropriate use of federal funds and otherwise protect the public interest.

All documents relative to the investigation and the final report will be maintained on file with the vice chancellor for academic affairs for at least three years after OSI accepts the final report of an investigation. Such documentation will be made available to authorized HHS personnel upon request.

During the course of the investigation, the vice chancellor for academic affairs shall take whatever steps are necessary and appropriate to ensure that federal funds are protected and that the purposes of the federal financial assistance are being carried out.

In cases where the allegations are not confirmed, all necessary steps will be taken to ensure that any damage to the reputations of the persons alleged to have engaged in misconduct will be restored. In addition, the positions and reputations of persons who, in good faith, make allegations and those against whom such allegations are not confirmed will be protected. The details of the will not become a public record; however, to the extent required by DHHS or

university policy, the University will publicly announce, in writing, the results of the inquiry or investigation and take other appropriate actions to attempt to restore the reputations of the persons involved. The accused shall be notified of the outcome of the investigation in writing. The notice shall include a statement that the accused has been cleared of the allegations.

The University Administration will impose appropriate sanctions on individuals against whom allegations of misconduct have been substantiated.

At the completion of the investigation, the chancellor will file a report with the director, OSI. The report shall thoroughly document the investigative process and the findings including all evidence reviewed summarization of relevant interviews and the conclusions of the investigation. The individual(s) against whom the allegation was made shall be advised in writing of the result of the investigation. If they comment on that report, their comments may be made part of the record. Any comment by the parties relative to the final report shall be made a part of the official record.

To ensure that all scientific and administrative staff are informed of the policies and procedures and the importance of compliance with those procedures governing research and the performance of creative activity, the following actions will be taken.

- i. Upon acceptance of the policies and procedures, copies shall be distributed to all faculty and administrators concerned;
- ii. At some predetermined interval, all administrators will be required to review the policies and procedures with the faculty and the appropriate members of their staff;

## APPENDIX A

### Guide for Quantitative Evaluation: Promotion and Tenure for Faculty in the Southern University at New Orleans

Promotion from one major academic rank to the next and the granting of tenure shall be based on the following criteria:

1. Teaching excellence
2. Research, publications, and creative activities
3. Professional training and experience
4. Professional activities
5. University service
6. Advisement

The revised system for granting promotions and tenure makes it necessary for an applicant for promotion and tenure to be given a quantitative evaluation on each criterion listed. A point scale is assigned to each criterion and to the subcategories thereof, and a minimum number of points is required for favorable consideration. The criteria are listed in order of descending value, and under each heading categories are again listed in order of descending value.

#### I. Teaching excellence – 40 points

- A. Chairperson's evaluation -- 20 points
- B. Peer evaluation -- 12 points
- C. Student evaluation -- 8 points

Evaluations are to be done on a yearly basis

#### II. Research, publications, and creative activities -- 25 points

- A. Research completed within past five years in applicant's teaching or related discipline.
  1. Book published or accepted for publication --15 points  
Co-authorship (1/2 credit)
  2. Article published or accepted for publication
    - Refereed journal -- 10 points
    - Non-refereed journal -- 5 points
    - Co-authorship (1/2 credit)

3. Creative works performed or displayed
  - National scale -- 10 points
  - General public (Regional) -- 7 points
  - Limited (University only) -- 5 points
  - Co-producers (1/2 credit)
4. Published abstracts, annotated bibliography, reviews
  - National -- 5 points
  - Regional -- 3 points
  - Local -- 2 points
5. Member of editorial staff of journal or board wherein article is published or creative work performed or displayed. (1/3 credit of points earned in A.2 and /or A.3 above)
6. Editor of journal or chairman of board wherein article is published or creative work is performed or displayed. (1/2 credit of points earned in A.2 and/or A.3 above)

B. Research in Progress – 1-5 points

The faculty member should file annual progress reports in which the following information is given:

1. Research topic
2. Progress since last report
3. Target date for completion
4. Problems encountered
5. University assistance sought

Reports should be filed with department chairpersons prior to faculty evaluations by chairpersons. Written verification from the chairperson indicating project is currently being pursued, its importance, progress reports are on file in the department and whether funded or non-funded, is required.

III. Professional training and experience -- 15 points

A. Educational attainment

1. Attainment of earned terminal degree
  - a. in teaching discipline -- 8 points
  - b. not in teaching discipline -- 6 points
2. Completion of all but dissertation (within

the last five years) -- 4 points

3. Completion of course work, but not of foreign language requirements, general examinations, or other required examinations, for the terminal degree in major teaching discipline -- 3 points
4. Earned Specialist degree or completion of 24 semester hours of graduate work above the master's degree in the major teaching discipline and in a degree program -- 2 points

B. Experience

1. Teaching experience
  - a. College or University level – 1/2 point per year up to 20 years
  - b. Non-college level teaching – 1/4 point per year up to 16 years
2. Other professional experience – 1/4 point per year up to 16 years

C. Non-degree study- formal or informal course work, travel, participation in conferences or developmental workshops, etc., over past five years -- 3-points

IV. Professional activities and community service -- 15 points

A. Professional activities over past five years -- 10 points maximum

1. Service as an officer in a leading professional organization at the
  - a. international or national level -- 5 points per office
  - b. regional or state level -- 3 points per office
  - c. local level -- 2 point per office

Total is not to exceed 10 points

2. Service on the editorial staff of a professional journal – 2 points each

Total is not to exceed 10 points

3. Service on a committee of a professional organization as:

- a. chairperson

National -- 3 points each

Regional -- 2 points each

Local -- 1 point each

Total is not to exceed 6 points

4. Presentations at seminars, conventions, or conferences

National -- 8 points each

Regional -- 5 points each

Local -- 2 points each

Total is not to exceed 8 points

5. Consultant services – 1-2 points

Total not to exceed 5 points

6. Attendance at professional meetings at the

- a. international or national level -- 1.5 points each

- b. regional or state level -- 1 point each

- c. local level -- .5 point each

Total is not to exceed 5 points

7. Securing of grants for University programs --  
1-5 points per grant.

Total is not to exceed 10 points

8. Active membership in honor societies of professional organizations -- 1 points each

Total is not to exceed 3 points

B. Community service over past five years -- 5 points maximum

1. Service as an active member of a community public body having constitutional status or governmental authority as
  - a. an officer --- 1-4 points
  - b. chairperson of a committee but not an officer – 1-3 points
  - c. an active member only -- not an officer or chairperson – 1-2 points
2. Participation in community service activities - working for charitable or civic causes, making monetary contributions, attending or participating in programs or meetings on matters of community interest, etc. - in other than membership capacity – 1-5 points
3. Participation in a civic service, or religious organization - voters leagues, scouts, Kiwanis, sodality, etc.- as
  - a. an officer -- 1-4 points
  - b. A committee chairperson not an officer -- 1-3 points
  - c. an active member not an officer or chairperson of a committee – 1-2 points

V. University service over past five years -- 10 points

A. Chairperson of a standing committee at

1. University level -- 3 points per appointment
2. College or department level -- 2 point per appointment

B. Active member, other than chairperson, of standing committee at

1. University level – 2 points per appointment

2. College or department level -- 1 point per appointment

Total is not to exceed 8 points

C. Sponsor of campus organization -- 2 points each

Total is not to exceed 8 points

D. Member of University Ad Hoc Committee 2 points each

Total is not to exceed 8 points

E. President of Faculty Senate -- 3 points per term

F. Other officers or committee chairpersons for Faculty Senate – 2 points per term

Total is not to exceed 2 points

I. Member of Faculty Senate Committee who is not an officer or chairperson -- 1 point per term

Total is not to exceed 6 points.

II. Acting as consultant for or participating in University programs in areas outside of the faculty member's assigned responsibilities, including the assumption of extra class loads without pay or with reduced pay -- 1-3 points

I. Participation in organized student recruiting efforts -- 1-3 points

VI. Advisement -- 5 points

Advisement is taken to include academic and professional consultations with students. Good advisement will be maintained in the following ways:

A. demonstration of knowledge of available academic programs

- B. ready availability to students for counseling
- C. demonstration of timely knowledge of professional and graduate opportunities
- D. demonstration of concern for student's development and welfare
- E. making available one's experience.

To be considered for promotion in rank and tenure, the faculty member must satisfy the following requirements in addition to general criteria listed elsewhere (See table 1, Table for Promotion in Rank):

- A. Instructor to Assistant Professor
  1. The minimum number of points set for Criterion I, Teaching Excellence, under Instructor to Assistant Professor, Table 1.
  2. Two of the other three minima as set for Criteria III, IV, and V.
  3. A total number of points equal to or in excess of the totals line requirement for Instructor to Assistant Professor.
- B. Assistant Professor to Associate Professor
  1. The minimum number of points equal set for Criteria I, Teaching Excellence, under Assistant Professor to Associate Professor, Table 1.
  2. Three of the other four minima as set for Criteria II, III, IV, and V.
  3. A total number of points equal to or in excess of the totals line requirement for Assistant Professor to Associate Professor.
- C. Associate Professor to Professor
  1. The minimum number of points set for Criterion I, Teaching Excellence, under Associate Professor to Professor, Table 1.
  2. Three of the other four minimum number as set for Criteria II, III, IV, and V.
  3. A total number of points equal to or in excess of the totals line requirement for Associate Professor to Professor, Table 1.

Step increases (merit pay) are based on the same criteria that promotions in rank are based upon. The same point assignment to criteria is also used. However, within a rank the number of areas in which the faculty member must satisfy minimum requirements is reduced, thus permitting a faculty member to move from one step to another by accumulating merit points in one or two particular areas in which he may excel.

Table II, for step Increases, shows the minimum numbers of points in each criterion at each step for each rank to be considered for movement from one step to the next:

- A. An Instructor must meet the minimum for Criterion I, Teaching Excellence, and one of the other three for which minima are given at the next step.
- B. An Assistant Professor must meet the minimum for Criterion I, Teaching Excellence, and one of the other three for which minima are given at the next step.
- C. An Associate Professor must meet the minimum for Criterion I, Teaching Excellence, and two of the other four for which minima are given at the next step.
- D. A Professor must meet the minimum for Criterion I, Teaching Excellence, and three of the other four for which minima are given at the next step.

In addition, to move from one step to the next the STEP TOTAL on the last line of the chart at the next step must be satisfied. Note that the STEP TOTALS exceed the total of minimum points at a step.

The totals in Tables I and II are minima points that qualify an applicant to be eligible for consideration for promotion in academic rank or for merit increases. Similarly, the totals in Table III are minimal points necessary to qualify and applicant to be eligible for consideration for tenure. Each year applicants will be ranked according to the number of total points received in the category in which they are applying from the highest score to the lowest. Recommendation for promotion, merit salary increases and tenure will be made on the basis of having obtained the highest scores in the numerical rankings, starting with the highest score and then proceeding in order to lower successive scores.

TABLE 1

TABLE FOR PROMOTION IN RANK  
**Excerpted from Table for Step increases and Promotion in Rank**

Criteria	Instructor to Assistant Professor	Assistant Professor to Associate Professor	Associate Professor to Professor
I. Teaching	30	30	30
II. Research		4	12
III. Professional Training and Experience	6	8	12
IV. Professional Activities	7	10	12
V. University Service	3	4	12
VI. Advisement			5
<b>*TOTALS</b>	<b>72</b>	<b>83</b>	<b>94</b>
*Not the Column sum			

**TABLE II**  
**TABLE FOR STEP INCREASES AND PROMOTION IN RANK**

**Step Increases are based on merit.**

Criteria	Instructor Steps			Assistant Professor Steps			Associate Professor Steps			Professor Steps		
	1	2	3	1	2	3	1	2	3	1	2	3
I. Teaching		20	22	24	25	26	28	28	28	28	28	28
II. Research							4	6	7	12	14	16
III. Professional Training and Experience		2	4	6	6	6	8	8	9	12	12	12
IV. Professional Activities		5	5	7	7	7	10	10	10	12	12	12
V. University Service		2	2	3	3	3	4	4	4	5	5	5
VI. Advisement												
<b>*STEP TOTALS</b>		55	60	66	69	73	79	82	86	94	97	101

\*Not the Column sum

## APPENDIX B

### A Guide for Quantitative Evaluation: Promotion and Tenure for Library Faculty

#### Southern University at New Orleans

Promotion from one major academic rank to the next and the granting of tenure shall be based on the following criteria:

- Excellence in librarianship
- Research, publications, and creative activities
- Professional training and experience
- Professional activities
- University service

The revised system for granting promotions and tenure makes it necessary for an applicant for promotion and tenure to be given a quantitative evaluation on each criterion listed. A point scale is assigned to each criterion and to the sub-categories thereof, and a -minimum number of points is required for favorable consideration.

#### A. Tenure Criteria

##### I. Excellence in librarianship - 50 points

- A. Dean's evaluation - 20 points
- B. Chairperson/Department Head's evaluation - 15 points
- C. Peer Evaluation - 10
- D. Student Evaluation - 5

##### II. Research, publications and creative activities - 10 points

###### A. Research completed within past five years

1. Book published or accepted for publication –
  - A. Authorship - 15 points
  - B. Co-authorship (1/2 credit)
  - C. Cited in research for published book - 3 points
2. Contribution of a chapter or an article in a monograph or book - 10 points
3. Article published or accepted for publication (print or electronic)
  - A. Refereed journal-10 points
  - B. Non-refereed journal-5points Co-authorship - 2 points
  - C. Cited in research for published articles - I point
4. Creative works performed or displayed
  - National scale - 10 points
  - Regional/State - 6 points

Local - 4 points  
Co-producers (1/2 credit)

5. Published abstracts, annotated bibliography, reviews, handbooks & brochures  
National - 10 points  
Regional - 8 points  
Local - 5 points
6. Editorial Involvement  
Editor of a refereed journal or chairperson of an editorial board - 10 points  
Editor of non-refereed journal chairperson - 5 points  
Chairperson of a review panel for creative works - 5 points  
Member of an editorial staff or board of a refereed journal -5 points  
Member of an editorial staff or board of a non-refereed journal - 2.5 points
7. Research in Progress

### **III. Professional Training and Experience - 15 points**

#### **A. Educational Attainment**

1. Attainment of earned Terminal Degree (MLS is terminal degree for Librarians)
  - a. in Library Science - 8 points
  - b. not in Library Science - 4 points
2. Earned Specialist degree or completion of 24 hours of graduate work above the master's degree in Library Science 3 points
3. Completion of all but dissertation - 5 points
4. Attainment of Doctoral Degree - 4 points

#### **B. Experience**

1. Experience in librarianship
  - a. College or University level 1/2 point per year up to 20 years
  - b. Non-college level teaching - 1/4 point per year up to 16 years
2. Other professional experience related to Library Science - 1/4 point per year up to 16 years

- C. Non-degree study: formal or informal course work, travel, and participation in conferences of developmental workshop, etc., over past five years - 6 points

### **IV Professional activities and community service - 15 points**

#### **A. Professional activities over past five years - 10 points maximum**

1. Service as an officer in a leading professional organization at the:

- a. International or national level - 2.5 points per office
  - b. Regional or state level - 1.5 per office
  - c. Local level - 1 point per office
- 2. Service on a committee of professional organization as**
- a. Chairperson
    - i. National-2 points each
    - ii. Regional - 1.5 point each
    - iii. Local - 1 point each
  - b. an active member - 1 point each
- 3. Presentations at seminars, conventions, or conferences**
- a. National – 5
  - b. Regional - 3
  - c. Local - 2
- 4. Attendance at professional meetings**
- a. National- 3 points each
  - b. Regional or state - 2 points each
  - c. Local level - 1 point each
- 5. Securing of grants for University programs - 2.5 points per Grant**
- 6. Active membership in honor societies or professional organizations - 1.5 points**
- B. Community Service over past five years - 5 points maximum**
- 1. Service as an active member of a community public body having constitutional status for a government authority as**
- a. An officer
    - i. President - 2 points
    - ii. Vice President - 1.5 points
    - iii. Secretary-Treasurer - 1 point
    - iv. All other officers - .5 points
  - b. chairperson of a committee but not an officer - 2 points
  - c. an active member only - not an officer - 1 point
- 2. Participation in community service activities - working for charitable or civic causes, making monetary contributions, attending or participating in programs or meetings on matters of community interest, etc. - in other than membership capacity - 2.5 points**
- 3. Participation in a civic service, or religious organization - voters leagues, scouts, Kiwanis, sodality, etc., - as**
- a. an officer
    - i. President - 2 points
    - ii. Vice President - 1.5 points
    - iii. Secretary or Treasurer - 1 point
    - iv. All other officers - .5 points

- b. a committee chairperson not an officer - 1.5 points
- c. an active member no an officer or chairperson of a committee - 1 point

**V. University (Southern) service over past five years - 10 points**

**A. Library Service - 5 points**

- 1. Active participation on library committees and task forces
  - a. Chair - 2 points
  - b. Member - 1 point
- 2. Service as a representative of the library to professional or governmental bodies or agencies; Service as editor or contributor to in-house -publications; Preparation of exhibits or programs within the Libraries - 3 points

**B. University Service 3 points**

- 1. Active participation on university and university-related committees and task forces.
- 2. Officer for Faculty Senate
- 3. Committee chairperson for faculty senate
- 4. Presentations or seminars to, or consultations with, faculty and student groups within the university relating to professional matters.
- 5. Service as an advisor to student groups recognized by the University
- 6. Preparation of exhibits or programs within the University
- 7. Consulting or advisory service to off-campus programs

**C. Service to the Public - 2 points**

- 1. Presentation of informational public lectures or addresses
- 2. Service to community libraries museums or historical societies

**VI.** Mentoring and advisement for librarians involves counseling and assisting faculty and instruction in a formal classroom setting. They may also have involvement in bibliographic counseling (formal and informal) and aspects of the regular mentoring of students (i.e., through experiential learning germane to library utilization).

Note: There will be a tenure and non-tenure track for Librarians.

## **APPENDIX C**



**Southern University System**

### **SU System Intellectual Property Policy**

**This policy was approved by the Southern University Board of Supervisors at its July 29-30, 2005 Meeting held at the Southern University A&M Campus, Baton Rouge**

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**THE SOUTHERN UNIVERSITY SYSTEM POLICY ON  
INTELLECTUAL PROPERTY  
PREAMBLE**

The central mission of the Southern University System (hereafter referred to as the University) is to create, preserve, and disseminate knowledge through teaching, research and service. The community of scholars at Southern has determined and established norms and values for the conduct of scholarly and scientific work that have evolved over the long history of the University. These norms and values are consistent with those recommended by the American Association of University Professors (AAUP) and those applicable to higher educational institutions throughout the United States of America.

Faculty at the University must be free to choose and pursue areas of study and concentration without interference, to share the results of their intellectual efforts with colleagues and students, to use and disseminate their own creations, and to take their created works with them should they leave the University.

This Intellectual Property Policy is intended to maintain those traditional norms and values that foster, in various ways, the open and free exchange of ideas and opinions. In this regard the policy formulated here follows a basic tenet of the 1940 Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors:

*Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free expression.*

The ongoing revolution in the use of information technology for the production and dissemination of knowledge enables members of the University community to create new forms or types of scholarly works, to communicate with current audiences with new types of materials, and to reach new audiences. The dramatic changes in information technologies and the ways in which they are employed provide an occasion to examine and clarify Intellectual Property policy of works of scholarship produced at the University. This Intellectual Property Policy statement delineates the rights and responsibilities of the University and its faculty, employees, students, and other members of the community.

By longstanding custom, faculty members hold copyright for lecture notes, class-notes, books, monographs, articles, and similar works as delineated in the policy statement, whether distributed in print or electronically. This pattern will not change. This copyright policy retains and reasserts those rights.

The use of new media technologies has changed the process of creation of intellectual works. Some of the resources (physical, financial, and human) needed to employ the new technologies are shared resources, provided by the University for the common benefit of all members of the University community. But, in many cases, the use of new media technologies requires

increased involvement by the University in the form of financial support, expert services, equipment, and other facilities beyond the base level of support and common resources provided to faculty.

Consistent with this changed environment in which Intellectual Property is created, the Southern University System, herein referred to as the "University," will have interest in copyright to works of authorship that are created at the University by faculty, research staff, and others that, a) are supported by a direct allocation of University funds, b) are commissioned by the University, c) made substantial use of financial or logistical support from the University beyond the level of common resources provided to faculty, and d) are otherwise subject to contractual obligations.

In those instances in which the University has determined that it holds rights, faculty members can use the works involved for noncommercial purposes.

This policy recognizes that ownership of Intellectual Property and the sharing of economic returns from the licensing or commercialization of that property are two related yet distinct matters. Even when Intellectual Property rights are held by the University, revenues from new digital media and other property should be shared among its creators, including individual faculty, researchers, departments, schools, and University System. A description of the precise mechanism for distribution of revenues received from the Intellectual Property is included in the policy statement and follows guidelines that have worked effectively for the sharing of revenues from patents.

Any beneficial returns to the University should be used for the common good in furtherance of its mission. Any share of revenues from Intellectual Property returned to the University must be invested visibly in the teaching and research enterprise of the University to seed new initiatives, enhance quality, and support quality academic programs including those that are not capable of reaping significant returns from their own created works.

This policy also is intended to strengthen current protection of the reputation of the names "Southern University," "Southern University System" and their variations and appendages. As a general principle, the name of the University is not the property of any individual, department, or School. When the University's name is associated with a work of scholarship or other educational materials such as courses, the interests of the University are affected. For these reasons, the University must exercise the highest standards of integrity and accountability with respect to the use of its name. This is particularly true when Intellectual Property is created for use by other educational institutions or by for-profit organizations, including development of extension courses to be offered on-line. Faculty members, deans, and other members of the University community who create courses or digitized content for other universities or for profit-making entities should be certain that all new collaborative agreements with outside entities receive approval of the appropriate university officers, System President and Board of Supervisors.

## **I. Introduction**

Southern University comprises five (5) campuses: Southern University and A&M College at Baton Rouge (SUBR); Southern University at New Orleans (SUNO); Southern University at Shreveport, Louisiana (SUSLA); Southern University Law Center (SULC); and the Southern University Agricultural Research and Extension Center (SUAREC).

### **Intellectual Property Defined**

This policy covers all types of Intellectual Property, including, but not limited to, the following: creative and scholarly works and inventions, with commercial potential; patentable inventions; copyrightable works; trade secrets; trademarks; mask works; and novel plant varieties.

Other definitions and key terms in this policy are provided in Appendix A for common use by the University. Many of these definitions do not necessarily conform to customary usage, but are defined in legal and technical language for the purposes of this policy.

### **Purpose of the Intellectual Property Policy**

The University recognizes that commercially valuable intellectual properties may arise in the course of research and other activities conducted by employees, students, and other associated individuals using *University* resources. Therefore, the reason we have this Intellectual Property Policy is to define the conditions of ownership, legal protection, development, and licensing of intellectual properties conceived or first reduced to practice by individuals who use resources and facilities at one or more of the five campuses listed above. Under this policy, intellectual properties can be managed so as to further the *University's* mission, enhance the value of such properties, and maximize benefits to the university originators (creators, inventors, and authors), and the public.

This policy applies to all employees and students of the University and to any individuals using University resources under the supervision of University personnel, including, but not limited to, visiting and adjunct faculty. No exception to the policy shall be valid unless negotiated in advance and agreed to in writing by the Board of Supervisors or its designee.

## **II. Copyright Ownership; Assertion of Rights**

### **A. Traditional Faculty & Employee Authorship Rights**

Consistent with established academic custom, the University recognizes faculty and employee ownership of copyright in traditional works of authorship created by faculty such as textbooks, class notes, journal articles, lectures, research and other works of fiction, non-fiction such as theses, dissertations papers, poems, musical compositions and visual works of art, whether or not such works are disseminated in print or electronically. Use of resources such as the libraries, office, desktop computer and University computer infrastructure, secretarial staff and supplies, is not considered to be substantial use of such resources for the purposes of vesting the University with copyright ownership in such works.

The University shall not have ownership to Intellectual Property when the creator is a student, professional, faculty, or non-faculty researcher and the Intellectual Property is a traditional academic

copyrightable work in the creator's field of experience. Even though such a work may be within the scope of employment, it is the property of the creator unless it is a scholarly work a) created by someone who was specifically hired or required to create it or b) commissioned by the institution. In either of those cases, the University, not the creator, will own the Intellectual **Property**.

## **B. University Rights**

The University asserts copyright ownership in any work of authorship that is: a) created with substantial use of University resources (*over and above that referenced in "A" above*), financial support or the support of non-faculty University personnel beyond the level of common resources provided to faculty; b) created or commissioned for use by the University; or c) created under the terms of a sponsored project where the terms of the sponsored project require that copyright be in the name of the University. Additionally, any work created by an officer of administration (*including a faculty member or officer of research when acting in his or her capacity as an officer of administration*), or by a support staff member acting within the scope of his or her employment generally constitutes a "work for hire" as defined by federal law. The Board and System asserts copyright ownership of such works. Through predetermined agreements and provisions, creators of works that constitute works for hire may share in revenues arising from their creation.

## **C. Stipulations Pertaining to the Assertion of Rights and Ownership**

Faculty and researchers having rights to discoveries/inventions prior to employment by the University should notify the hiring administrator who shall in turn notify the university attorney of such Intellectual Property so that ownership to any further development of that same Intellectual Property at the university may be established by written agreement.

1. Title to discoveries or inventions shall remain with the inventor, provided the University attorney and the University Intellectual Property Committee confirm that the discovery or invention was made under at least one of the following purported conditions:
  - a. Outside the course of, and or, scope of employment;
  - b. Without the use of common resources such as the libraries, office desktop computer and University computer infrastructure, secretarial staff and supplies;
  - c. Created without the use of substantial University resources over and above that provided routinely for faculty or employee use; and
  - d. Cases where the University received reimbursement for the use of substantial resources in accordance with University policy.
2. An inventor shall submit an *Invention Statement* to the University's designated representative or designee and to the Intellectual Property Committee. This statement shall contain sufficient information to enable the representative and committee to make a determination. If confidential information is required, the involved campus will sign a nondisclosure agreement for purposes of this review.
3. Should the university attorney determine that the university does have a proprietary interest, a complete technical description of the invention may be required before making a decision in regard to title. If it is determined that the university has an interest, the provisions of the University policy shall then be applicable. Appeals of such determinations may be made to the President of the university.

4. Rights in and to discoveries and inventions described in (II. A. "Traditional Faculty & Employee Authorship Rights,") shall be disclosed to the university when the author or creator commences work on a similar or related work in the same or allied field.
5. Each unit of the university agrees to act in good faith with respect to the determination of ownership. The university may, at its discretion, waive rights in favour of the inventor. If the university retains rights, the university will execute an agreement with the inventor(s), according to the formula stipulated in Section W of this document, that provides for distribution of *Net Income* derived from the Intellectual Property. If there is more than one inventor, each receives an equal share unless the inventors agree among themselves on another distribution in written and signed declaration.

#### **D. Sponsored Efforts**

1. Sponsored project agreements often contain specific provisions with respect to ownership of Intellectual Property developed during the course of such work, in which case the terms of the sponsored project agreement shall establish ownership.
2. The University may enter into a contract or contracts with an external sponsor covering specific inventions or discoveries believed to be patentable and patents developed therefrom or covering all such inventions/discoveries in which the University has an interest.

#### **E. Individual Efforts**

Ownership of Intellectual Property developed by faculty, staff, or students of the University as a result of their individual efforts shall reside with the creator and inventor of such Intellectual Property provided that:

1. Use of resources is limited to use of common resources such as the libraries, office, desktop computer and University computer infrastructure, secretarial staff and supplies, afforded to other faculty or employees of equal rank;
2. The Intellectual Property was not developed in accordance with the terms of a sponsored project agreement; and
3. Faculty, staff or students did not develop the Intellectual Property using substantial resources not commonly available to others of equal rank.

It shall be the responsibility of the originator of the Intellectual Property to demonstrate that this ownership classification applies as outlined in (IV B. "Invention (Confidential Technical Description) Statement of Intellectual Property".

#### **F. Consulting**

1. An employee who anticipates engaging in off-campus consulting shall inform the appropriate dean and department chair prior in writing to commencing the endeavors. The employee must communicate the scope of such off-campus endeavors to the dean and chair from whom the approval is requested. These activities include: independent off-campus research, or consultation and other related activities in which a third party may claim an ownership interest.

2. Employees of the University engaging in consulting agreements or otherwise employed by an external company shall ensure that the company is either anticipating or has executed a license agreement with the University. The consulting or other agreement shall be submitted to the university president, Chancellor, Vice Chancellor for Academic Affairs, Dean and Chair of the unit to which the consultant reports routinely.
3. The University does not ordinarily assert ownership to Intellectual Property produced by those involved with consulting. In cases where use of *University* resources occurs to support the consulting activity, there should be negotiation between the consultant and the university Chancellor, Vice Chancellor for Academic Affairs, Dean and Chair of the unit or units wherein the resources are housed to determine disposition of the intellectual property.

#### **G. Ownership of Copyrighted Works**

In keeping with academic tradition, except to the extent required by the terms of any grant or sponsored research agreement, the University does not claim ownership to pedagogical, scholarly or artistic works, regardless of their form of expression.

#### **H. Student Works**

1. Ownership of copyrights to works produced by enrolled students that are produced outside any University employment and are not sponsored or commissioned works, shall reside with the student creator(s). In all cases a student's graduate thesis or dissertation shall be deemed a student work under this policy, but as a condition of enrollment and awarding a degree, the University reserves an irrevocable, non-exclusive, free-of-cost and world-wide right to reproduce in any media and distribute to the public, on a non-commercial basis, copies of said theses and dissertations, unless to do so would impair the ability of the creator to commercially or professionally exploit the work.
2. If a use of the work by the University is reasonably determined by the originator to impair the exercise of such rights, the University shall discontinue the impeding use but otherwise shall remain free to use the work.

#### **I. Jointly Originated Works**

Collaboration between University employees or students and persons not employed or associated with the University, including researchers at other universities or companies, can result in the development of Intellectual Property jointly owned by the University and other persons or their employers. Protection and commercialization of such joint Intellectual Property can be difficult without extensive cooperation and agreement among the owners. University employees involved in or contemplating collaborative activities that may result in the development of Intellectual Property will advise the University of such activities. Ownership of jointly originated works shall be determined by separately assessing the category and level of work of each originator as provided for in this policy and Intellectual Property laws.

#### **J. Software**

1. Software is a form of Intellectual Property covered by this policy. It differs considerably from inventions due to the fact that software may be copyrighted. Some software can also be the subject of a

patent. This option may provide broader protection for the Intellectual Property, but at a greater expense.

*Any software should be treated as an invention, and handled by its inventor and the University as described in Section V. on the management of Intellectual Property.*

#### **K. Other Intellectual Property**

1. The University owns all other forms of Intellectual Property arising from University research, including trademarks, and know-how (except those listed in II. A. and unless the know-how is related to Intellectual Property otherwise not owned by the University).
2. Other Intellectual Property may exist in the form of material that is not patentable, but which by its nature can be protected. An example of this would be anything produced from a biological material harvested from a unique continually growing culture. This type of Intellectual Property may be protected and licensing agreements with parties interested in commercial production may generate revenue. This type of Intellectual Property is to be treated by its originator and the University in the same fashion as described for the management of Intellectual Property as contained in this policy.

**Inventions** — For purposes of this policy, an invention is any new or useful process or discovery, art, method, technique, machine, device manufacture, software, composition of matter, or improvement thereof.

#### **L. Modifications, Extensions, or Translations of Intellectual Property.**

The University owns and retains an interest in Intellectual Property acquired consistent with the stipulations governing ownership in (Section II. A.) this policy. Nonetheless, any changes, modifications, translations of an original work, invention or creation shall have the creator's, author's or inventor's permission and, where reasonable, his/her participation.

### **III. Types of Intellectual Property**

For the purposes of this policy, *Intellectual Properties* are divided into two categories: Technical Works and Academic Works.

- A. Technical Works** include intellectual properties that are generally of a scientific, engineering, or technical nature such as patentable or unpatentable inventions, devices, machines, processes, methods, and compositions; and institutional collections. All computer software is included in technical works except that which is clearly developed for entertainment or for instructional purposes, e.g., electronic textbooks and textbook supplements, classroom and self study tutorials, notes and the like.

**A.1. Academic Works** include all intellectual properties not covered in *Technical Works* that are of an artistic, scholarly, instructional, or entertainment nature. Examples might include creative productions, such as works of art or design; musical scores; books, poems, and other types of scholarly or creative writings; films; video and audio recordings; and instructional materials, such as textbooks and multimedia programs.

- B. Software** Consistent with this Policy, the campus has an interest in inventions or discoveries, including computer software "that are or may be patentable as well as to the technology associated with them." If the software is not covered by the Intellectual Property Policy, the campus or University will not claim copyright ownership unless there is an independent basis for asserting such rights.
- C. Use of course content and courseware** Independent of copyright ownership. A faculty member has the right to use all course content and courseware he or she develops or creates in the normal course of teaching or research. This right includes the right to make changes to the works and the right to distribute such works to the University faculty and other University personnel for teaching, research and other noncommercial institutional purposes.
- D. Videotapes and recordings.** The University has an interest in videotapes or other recordings of courses, and the parts thereof, that are made at University expense. Ownership of the videotape or recording itself does not mean that the University claims rights in the intellectual content presented on the tape or recording. Interest in the content shall be governed by the principles set forth above.

#### **IV. Responsibilities Under This Policy**

##### **A. The Intellectual Property Committee (IPC)**

###### **Composition and Duties.**

1. Each campus shall establish an Intellectual Property Committee of which no less than one-third (1/3) shall be appointed by the Faculty Senate.

This Intellectual Property Committee shall comprise members of constituents groups such as the faculty, students and administration deemed acceptable and appropriate by the campus whose credentials are germane to the committee's purposes. This committee shall be charged by the Chancellor to address any issues concerning the proper interpretation of this Policy and to resolve any disputes between creators and the University concerning ownership of works and what constitutes substantial use of University resources. Members of the University community may obtain advice from this Committee. The creator of a work may appeal the decision of the Committee to the Board of Supervisors through the University President. The decision of the Board of Supervisors shall be final. Decisions of the Committee and the President will be publicly available.

2. In order to ensure continuity of the activities of all Intellectual Property Committees of the five campuses, individual members thereof shall be appointed initially for varying terms of service, provided that any member may be re-appointed upon the expiration of his or her term of service. Vacancies occurring on the committees, whether by reason of expiration of a term of service, resignation, death, retirement, or otherwise, shall be filled by appointments made by the Chancellor, and faculty senate.

3. The Intellectual Property Committee for a given campus shall, in addition to the functions herein before described, consider and make recommendations to the Chancellor concerning the following:
  - a. The review, establishment, interpretation and modification of *University* policies and procedures affecting research, inventions, and intellectual property.
  - b. Whether or not an application for Intellectual Property should be made on any particular invention, and whether such invention should be submitted for licensing by the campus, dedicated to the public, or whether the rights therein be relinquished to the sponsor or inventor.
  - c. Matters submitted to the Committee by any interested employee or student, may include, when appropriate, the conduct of a hearing where the issue may be an invention ownership, an alleged improper distribution of rights or compensation between an inventor and the campus, or a sponsor, when applicable.

## **B. The University Attorney**

1. The university's attorney may review the determination of the IPC upon the written appeal of the author, creator of the intellectual work at issue. If this review finds that the determination of the IPC is in contradiction to written policy, or is otherwise unsubstantiated, the matter may be referred for a judicial hearing before the Chancellor, legal counsel of the University, chairperson of the IPC, the campus research officer, the aggrieved individual and his/her legal representative and any other person who can offer "expert testimony" or contribute significantly to the procedure. The results of the hearing shall be forwarded through the System President to the Board of Supervisors for a final, conclusive and binding decision or dismissal.
2. The University attorney may review the determination of the IPC committee, at the request of an interested person with a justifiable claim. The attorney may affirm, modify, or reject the determination of the Committee, based on legal merit. If the Committee recommends in any particular case, the campus should have an interest different from that stated as the general policy for Intellectual Property belonging to the University, the recommendation shall be referred to the university attorney. The results of this review shall be forwarded through the System President to the Board of Supervisors for a final, conclusive and binding decision or dismissal.

## **C. The Chancellor**

The Office of the Chancellor's role includes charging the Intellectual Property Committee to address any issues concerning the proper interpretation of this Policy and to resolve any disputes between creators and the University concerning ownership of works and what constitutes substantial use of University resources. The Chancellor shall work with the faculty senate to fill vacancies on the Intellectual Property Committee. Other roles for the chancellor shall include reviewing recommendations made by the IPC and general oversight of the processing and assignments of intellectual property.

#### **D. The System President**

The System president has general overarching responsibility for the actions of campus based IPCs and the work of the campus chancellors. Other responsibilities include making judgments about matters to be referred to the Board of Supervisors for approval.

#### **E. Board of Supervisors**

The Board of Supervisors is the final cognizant authority over all Intellectual Property matters and makes the final determination and ruling about matters referred to them by the System president. The Board is the only authority authorized to make and approve policies that govern the disposition of intellectual property.

### **V. Management of Intellectual Property**

#### **A. Responsibility and Organization**

The administration of the principles and policies set forth in this document is the responsibility of the duly designated representative or designee of a campus, and with the advice of the Intellectual Property Committee and a University Legal Advisor.

#### **B. Disclosure and Appeals**

1. The originator/s of Intellectual Property shall file an Invention Statement with the Intellectual Property Committee and Vice Chancellor for Research (each member of these positions or groups shall be sworn to keep the process confidential, under penalty of law). Within ten (10) days of such disclosure, the Vice Chancellor or designee shall transmit the statement to the technology transfer officer, with non confidential information copy to the originator's chair, dean of the college, or other administrative officer. The technology transfer officer shall append to the invention statement or confidential technical description, a statement setting forth his or her opinion concerning the scientific, technical and economic merit of such Intellectual Property; the likelihood and desirability of obtaining a patent, trademark, copyright or trade secret protection; an estimate of the commercial potential; and a general description of the University facilities or resources used in the development of the Intellectual Property.

#### **C. Invention Statement or Confidential Disclosure Processing**

1. Only after receiving a completed *Invention Statement*, will the university attorney review, evaluate, and make a confidential disposition of the invention statement. Upon making a disposition, the representative will promptly notify the originator(s) as to whether or not the University should seek patent protection for the invention. The evaluation and disposition will be completed as soon as possible, but for inventions (and computer software) ordinarily no later than ninety (90) days, and for copyrightable works (other than software) ordinarily no later than thirty days (30) after the university attorney receives a complete, accurate confidential invention statement and any other information that he or she requests in order to make an informed evaluation.

2. The determination whether or not the campus shall seek patent protection depends upon the availability of funds and the patentability and commercial value. A determination by the university attorney not to seek patent protection is reviewable by the Chancellor at the request of the originator. The campus personnel involved shall be entitled to appear before the Chancellor and present evidence with respect to the report. The Chancellor's determination shall be made in writing and shall contain a statement of findings and grounds of decision.
3. When there is a failure to obtain a patent based solely upon lack of University funds, the originator, and or, any other party may commit discretionary funds to patent an Intellectual Property. Should it be licensed, the sponsor's may only recover out-of pocket costs out of gross royalties. The commitment of such funds must have prior approval by the University attorney. However, under no circumstance is the use of non- University funds considered a relinquishment of interest in the Intellectual Property by the University.
4. Intellectual Property determined not to be of merit or use to the University may be released to the employee under the guidelines of the research sponsor, where applicable. A campus will ordinarily waive its ownership rights in favor of the originator of an Intellectual Property if the employee has made complete and accurate confidential disclosure of such Intellectual Property in accordance with this policy and if the research sponsor also waives its rights.
5. In cases where the University's claim to Intellectual Property is in accordance with the stipulations of this policy (Section II. B. "University Rights") the University may commercialize the property rights using its own resources. However, if the University elects not to exploit an interest through commercialization, the work should be released to the creator as allowed by law. In this instance, the creator is free to obtain a patent or other applicable Intellectual Property protection and retain any derivative income rights.

#### **D. Assignment and Protection of Intellectual Property**

1. To protect and preserve the Intellectual Property rights defined in this policy and to comply with federal regulations, the originator shall furnish such additional information and execute such documents from time to time as may be reasonably requested.
2. The University shall have the sole right to determine the disposition of Intellectual Property over which it asserts ownership. As such, creators may not assign, or license rights in Intellectual Property to third parties without the prior written consent of the University.
3. Originators of Intellectual Property shall assist as reasonably necessary for the University to obtain statutory protection for the Intellectual Property and to perform all obligations to which it may be subject concerning the Intellectual Property, including the exercise of prudent, intellectual stewardship of his or her Intellectual Property.
4. The campus representative shall inform the originator on a regular basis of the progress of protection efforts and commercialization of Intellectual Property disclosed by that originator.

## **E. Licensing Intellectual Property**

1. The individual campuses do not sponsor product manufacturing, company support functions, customer service, or technology maintenance. In general, it is not appropriate for academic units to produce, market or sell products, or to establish organizations or companies to do so. Instead, the designated university authority has the responsibility to license or sell university developed products (products which were developed with substantial use of University resources as delineated in II. B. "University Rights"). These may be sold to end-users when sales and support do not interfere with the normal activities of campus personnel, and when the sale is consistent with the educational mission of the campus.
2. The designated university authority will work with the originator to identify and pursue licensing opportunities. The originator is often aware of, familiar with, or in direct contact with the companies most likely to have an interest in the Intellectual Property.
3. Initial communication with potential licensees normally is based on a non-confidential summary of the Intellectual Property. Interested companies are then requested to sign a *Confidentiality Agreement* before receiving confidential information, such as the patent application and access to the originator for discussion of confidential information.
4. The involvement of the originator is encouraged and supported, and is usually essential to successful licensing. However, originators should limit their communication with a company until a *Confidentiality Agreement* has been signed.

## **VI. Distribution of Income**

### **A. Financial Responsibility and Costs**

1. The University, through each campus, assumes financial responsibility for Intellectual Property to which it takes ownership. This responsibility may include, for example, the costs of assessing patentability and commercial potential, filing and maintaining patents, registering copyrights, marketing and licensing inventions, and copyrighted works, and sharing of net income. The campuses are not, however, obligated to protect or commercialize any particular invention or copyrighted work unless it has made an explicit contractual commitment to do so. Activities related to the protection and marketing of University Intellectual Properties are intended to be self-supporting. Thus, each campus representative is charged with the responsibility of using the University's resources carefully, with a view to promoting the fiduciary interest of the University as a whole.
2. Income earned from the licensing, or other transfer of Intellectual Property of a campus shall be received solely by the campus and shall, except where a grant or Sponsored Research Agreement specifies otherwise, be distributed successively as follows:
  - a. From gross royalties, reimburse all direct expenses related to prosecuting and maintaining Intellectual Property protection and securing licenses, such as fees for outside legal counsel and other experts, if required, from gross royalties.
  - b. From net royalties distribute:

- Forty percent (40%) to the originator for personal use.
  - Sixty (60%) to The Intellectual Property Fund for academic and research use.
  - Each campus shall develop an implementation plan for the use of these funds and submit an annual accountability report to the SU System for the use and expenditure of such funds.
  - For inventions disclosed prior to the effective date of this policy, royalties shall be distributed in accordance with the agreement made as a result of negotiations between the originator and the University.
3. When more than one originator is listed, the allocation will be determined by the percentage of ownership listed in the original invention statement. That allocation may only be altered for future *Net Income* distribution by written request signed by all inventors listed on the original invention statement. In the event an agreement cannot be reached, the distribution shall be prorated according to *Section VII, Dispute Resolution*.
  4. *Net Income* is payable only upon actual receipt by the University. In the case of the death of an originator, all *Net Income* distributions which would have been due, such person shall be paid to his or her estate.
  5. In rare and exceptional circumstances, a non-inventor student may make an important inventive contribution to the development of an Intellectual Property. In such cases, the faculty inventor or conceiver of the invention may share a portion of the *Net Income* with the student.

## **VII. Dispute Resolution**

- A. The designated campus representative or designee shall attempt to resolve any claim, dispute or controversy involving the rights to any type of Intellectual Property originating at that campus. Any dispute that cannot be settled through informal discussion shall be submitted to the Intellectual Property Committee which will investigate the dispute and make a determination as to the rights of the parties.
- B. Following a determination by the Intellectual Property Committee, a party interested in the assignment of rights may seek a review by submitting a written notification of appeal which is forwarded to the university attorney. The university attorney shall review the determination of the IPC to establish whether the determination of the IPC is in contradiction to written policy, or is otherwise flawed or unsubstantiated.

If this review finds that the determination of the IPC is in contradiction to written policy, or is otherwise flawed or unsubstantiated, the matter may be referred for a judicial hearing before the Chancellor, legal counsel of the University, chairperson of the IPC, university research officer, the aggrieved individual and his/her legal representative and any other person who can offer "expert testimony" or contribute significantly to the procedure. The aggrieved individual and his/her legal representative may appeal the decision of the Committee to the Board

of Supervisors through the University President. The decision of the Board of Supervisors shall be final and binding upon all parties.

- C. Committee members or administrators who are directly involved with the Intellectual Property in question must withdraw from the committee at such times as necessary to avoid conflicts of interest.

### **VIII. Policy Administration**

The university attorney shall be charged by the Chancellor with the responsibility of working with the Intellectual Property Committee (See Section III) in making a formal Intellectual Property review of disclosed inventions and the administration of Intellectual Property agreements in conformance with the University's policies and contractual obligations. The university attorney and support staff shall have the responsibility to:

- A. Maintain the official records of invention statements, patents, copyright registrations, licenses, and compliance with regulations and terms of grant awards by research sponsors.
- B. Evaluate the Intellectual Property commercial potential of inventions and copyrighted works.
- C. Negotiate and sign confidentiality licenses and option agreements with companies and employees.
- D. Help create programs that build new relationships between research faculty and companies.
- E. Advise and counsel academic and administrative units regarding Intellectual Property.
- F. Assist schools, colleges, programs and administrative units to develop new sources of revenue.
- G. Engage outside consultants and other service providers as necessary to perform licensing activities, including marketing; negotiating agreements, drafting licenses and other legal instruments, and performing any other services required to effectuate the commercialization of University Intellectual Property.
- H. Advise the Chancellor on Intellectual Property policy.
- I. Serve as an *ex officio* member of the Intellectual Property Committee.

### **IX. Official Acceptance of the Southern University Intellectual Property by the University Community**

All Southern University faculty, staff, and students are expected to adhere to the provisions of this policy. Students and others working on research projects, and all other persons associated with the University who use University resources shall be required to agree to this *Statement of Policy* and the procedures to be promulgated pursuant hereto.

### **Appendix A: Definitions-Types of IP and Related Terms**

**Copyright - Works of Authorship** - The Copyright Law of the United States protects original works of authorship that are fixed in any tangible medium of expression. Originality, in the context of copyright law, means simply that the work has not been copied, i.e., it is an independent creation. A

work is "fixed" in a tangible medium of expression when its embodiment in a copy or phonograph record is sufficiently permanent or stable to permit it to be perceived, reproduced, or otherwise communicated for a period of more than transitory duration.

**Copyrighted Materials** - Creative and scholarly works such as the following: (1) books, journal articles, texts, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests, and proposals; (2) lectures, musical or dramatic compositions, unpublished scripts; (3) films, filmstrips, charts, transparencies, and other visual aids; (4) video and audio tapes or cassettes; (5) live video and audio broadcasts; (6) programmed instructional materials; (7) mask works; (8) research notes, research data reports, and research notebooks; and (9) other materials or works other than software which qualify for protection under the copyright laws of the United States (see 17 U.S.C. Section 102 et. seq.) or other protective statutes whether or not registered thereunder.

**Subject Matter of Copyright** - The categories of copyrightable works of authorship include:

- Literary works
- Musical works, including any accompanying words. Dramatic works, including any accompanying music.
- Pantomimes and choreographic works.
- Pictorial, graphic and sculptural works.
- Motion pictures and other audiovisual works. Sound recordings.
- Architectural works.

Literary works are works, other than audiovisual works, expressed in words, numbers, or other verbal or numerical symbols or indicia, regardless of the nature of the material objects, such as books, periodicals, manuscripts, phonorecords, film, computer programs, tapes, disks, or cards in which they are embodied.

Key terms in this policy are defined for common use by the Southern University System. These definitions do not necessarily conform to customary usage.

**Assignment** - The transfer of rights and title in real, personal or Intellectual Property by a written instrument with the result that the assignee is vested with rights of ownership. Federal law requires that the University obtain *Assignment of Inventions* that have been conceived or created in a project supported by federal funds. Other intellectual property may be assigned to the University, or to other parties pursuant to a Research or License Agreement.

**Confidentiality Agreement** - An Agreement that outlines the terms under which proprietary information will be exchanged between two parties. Since the University has a legitimate interest in protecting proprietary information generated by faculty, staff, and students during the course of their duties at a given campus, such agreements, when associated with intellectual property are frequently negotiated by a duly designated representative(s) on behalf of the University.

A signed confidentiality agreement should be in place before an inventor, or University representative discusses his proprietary technology with anyone other than the University's officially designated representatives. The *University* will insist on such an agreement in order to protect its proprietary technology. Confidentiality agreements simply spell out what is to be disclosed and under what conditions. Authorized representatives of the Southern University System *shall not* disclose to a potential

licensee the claims of any patent unless there is a signed confidentiality agreement. Neither shall they discuss any ongoing research which may impact on a pending patent application without such an agreement. These campus representatives shall also negotiate confidentiality agreements.

**Conflict of Interest** - A *conflict* that occurs whenever two or more goals or ends might not be advanced simultaneously, placing them in potential competition with each other. Productive interchange between the University, its faculty, or other employees and the non-academic world may sometimes engender *conflicts of interest*, in which legitimate but disparate goals of the institution, or of an individual employee may present difficult choices. If *conflicts of interest* cannot be avoided, they may be minimized, in accordance with the University's policies and procedures for such management.

**Contract** - A legally binding mutual agreement between two or more parties in which an exchange of value (consideration) occurs, and which obligates each party to certain duties covering this exchange. Those signing such an agreement must be authorized to bind the entity that they represent.

**Creators** - Originators or discoverers of any kind of Intellectual Property. Generally these are faculty, staff, and other persons employed by the University, whether full- or part-time; visiting faculty and researchers; and any other persons, including students, who create or discover Intellectual Property using University resources.

**Direct Expenses** - Costs associated with the protection and licensing of Intellectual Property.

**Disclosure** - An action that makes an individual's invention known to others. In general, the following are the types of disclosure:

- **Confidential Disclosure** - Any disclosure made for the purpose of testing, research, and development of the invention under an understanding or expectation of confidentiality. These disclosures are mostly made under a written or express agreement of confidentiality and non-disclosure.
- **Public Disclosure** - Any publication or public utterance anywhere in the world describing the invention. It may be further defined as any public use of the invention or distribution of articles by, resulting from, or derived from the invention, or any offer for sale of the invention.
- **Enabling Disclosure** - A description of an invention, in a patent application or in a publication **or presentation** that could allow a person skilled in the art to replicate the invention.

**Employee** - Employees include, but are not limited to, faculty as defined in this policy, full-time and part-time classified and unclassified staff, student employees, appointed personnel, graduate assistants and associates, persons with "no salary" appointments. An employee shall also include visiting faculty, persons on leave, and academic professionals, such as post-doctoral persons, who develop Intellectual Property using University resources and facilities unless there is an agreement providing otherwise. Persons who are not otherwise University employees and who come to the University as guest lecturers, or to teach colloquia, seminars or short courses are not University employees for purposes of this policy to the extent of their teaching and classroom activities.

**Exempted Scholarly Works** - Creative and scholarly results that fall within certain copyrightable

categories which the University will waive any ownership in favor of the author, includes, works created by faculty such as textbooks, class notes, journal articles, lectures, research and other works of non-fiction such as theses, dissertations papers, poems, musical compositions and visual works of art, whether such works are disseminated in print or electronically.

**Faculty** - Employees of the *University* as defined in the University's Faculty Handbook. This designation also includes instructors and special faculty appointments such as joint faculty members, and part-time faculty.

**Federal Ownership Rights** - Rights that cover both data and software and arise from certain federal grants, contracts, and cooperative agreements. They require that Intellectual Property developed under these funding sources be owned by the federal government. When such funding sources are in force, the University requires faculty and employees working under such funding to assign ownership of the Intellectual Property (e.g., software or data) to the *University* for conveyance to the federal government. The regulations covering such Intellectual Property are not uniform across federal agencies, and sometimes waivers may be sought in advance, or a petition for greater rights may be entertained.

**Gross Income** - Funds obtained from commercialization of technology under a License Agreement. Gross Income may include License Fees, milestone payments, minimum annual royalties, earned or running royalties, equity, equipment, or reimbursement of patent expenses and fees. It does not include research support in a mixed purpose Research Contract/License Agreement.

**Income** - Funds received by the *University* under a License Agreement.

**Invention Statement (Disclosure)** - A term typically used to describe a formal (written) description of an *invention* that is confidentially made by the creator or inventor to his or her employer. Within the *University*, an *Invention Statement* is an enabling disclosure, that includes details as to co-inventors and funding sources and should be submitted in the manner set forth herein. Such a statement is the "first alert" to the *University* that an invention has been made.

**Inventor** - Any employee or individual associated with the *University* who is the originator(s) of an Intellectual Property.

**Inventions** - An invention is any new or useful process or discovery, art, method, technique, machine, device manufacture, software, composition of matter, or improvement thereof.

**Intellectual Property** - including, but not limited to, the following:  
textbooks, class notes, journal articles, lectures, research and other works of nonfiction such as theses, dissertations papers, poems, musical compositions and visual works of art, whether such works are disseminated in print or electronically. Creative and scholarly works and inventions, with commercial potential; patentable inventions; copyrightable works; trade secrets; trademarks; mask works; and novel plant varieties.

**Know-how** - The knowledge, innovations, practices, expertise, processes or procedures, and secrets of individuals regarding the use of a material, product or resource, or the practice of a method, for a particular purpose.

"Know-how" usually refers to one of two situations: (1) "*confidential know-how*" which is equivalent to "trade secrets," and (2) "*non-confidential know-how*," which is readily discoverable by reverse engineering, or is information generally known in the trade. A third definition of "know-how" is any information needed to run a business such as how to market a product. Because of these varying definitions, "*know-how*" should be specifically defined either in a licensing agreement or by implication through the manner in which it is used.

**License** - A contract which awards to a party other than the owner(s) of the Intellectual Property the right to make, use, sell or import products or services based on the owner's Intellectual Property. Licenses may be awarded on an exclusive or non-exclusive basis and may provide for payment of *license fees*, *milestone fees*, *royalties*, **equity**, or other income to the owner(s) of the Intellectual Property.

**License Option** - A contract between the University and another party which conveys to that party the right to negotiate for a *license* to certain Intellectual Property, generally on terms within certain specified parameters. If the option is exclusive, the University agrees to refrain from granting a License to a third party during the option period. Exclusive options on future inventions are often offered in return for the agreement of the unrelated party to pay for patent costs and/or to support research. License options are not to be confused with stock options, which are agreements that require conveyance of equity.

**Mask Work** - A series of related images, however fixed or encoded, having or representing the predetermined, three dimensional pattern of metallic, insulating, or semiconductor material present or removed from layers of a semiconductor chip product; and in which series the relation of the images to each other has the pattern of the surface of one form of the semiconductor chip product. (See 17 U.S.C. Section 901 et. seq.)

**Net Income** - Gross income less non-reimbursed University expenses and other direct expenses for *patent prosecution*, *litigation* and *licensing expenses* associated with a particular License Agreement (e.g., travel made expressly to **market an invention or negotiate** a particular License Agreement). *Net Income* may be subject to sharing with inventors and creators and is distributed in accordance with University policy.

**Novel Plant Variety** - A novel variety of a sexually reproduced plant. (See 7 U.S.C. Section 2321 et. seq.)

**Originator** - An inventor, creator, author, or the like of an Intellectual Property.

**Patentable Materials** - Kinds of Intellectual Property deemed to refer to items other than software which reasonably appear to qualify for protection under the patent laws of the United States (see 35 U.S.C. Section 101 et. seq.) or other protective statutes, including *novel plant varieties* and *patentable plants*, whether or not patentable thereunder.

**Patentable Plant** - An asexually reproduced distinct and new variety of plant. (See 35 U.S.C. Section 161.)

**Software** - One or more *computer programs* existing in any form, or any associated operational procedures, manuals or other documentation, whether or not protected by patent or copyright. The term

"computer program" shall mean a set of instructions, statements, or related data that, in actual or modified form, is capable of causing a computer or computer system to perform specified functions.

**Trademarks** - All trademarks, service marks, trade names, seals, symbols, designs, slogans, or logotypes developed by or associated with the *University*. (See 17 U.S.C. Section 1127.)

**Trade Secrets** - Information including, but not limited to, technical or nontechnical data, a formula, a pattern, a compilation, a program, a device, a method, a technique, a drawing, a process, financial data, financial plans, product plans, or a list of actual or potential customers or suppliers which: derives economic value, actual or potential, from not being generally known to, and not being readily ascertainable through proper means by, other persons who can obtain economic value from its disclosure or use; and is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.

**Patent** - A grant issued by the U.S. or a foreign patent office that gives an inventor the right to exclude others from making, using, or selling the invention within the United States or other geographic territories for a period of years from the date of filing of the patent application.

**Royalties** - All compensation of whatever kind *received* from the sale, license, or other transfer of Intellectual Property rights by the *University* to a third party. This includes, but is not limited to, percentage payments, up-front fees, milestone fees, shares of stock, and any other financial or in-kind consideration.

**Sponsored Research Agreement** - A contract, grant, cooperative agreement, or other funded research instruments between the University and a sponsoring organization that set the terms and conditions for the conduct of a faculty or student research or training project. A Sponsored Research Agreement typically includes a description of the work to be performed, the terms of payment, ownership of Intellectual Property, publication rights, and other legal assurances.

**Staff** - Any employee of the *University* other than students and faculty as defined within this document. If a student is also a part-time University employee, he or she is considered as staff with regard to Intellectual Property developed as a result of his or her employment, and as a student with regard to other Intellectual Property. A full-time non-faculty employee who is also taking one or more courses is considered to be staff. Visitors to the University, including post-doctoral persons, are considered as staff with respect to any Intellectual Property arising from University activities.

**Student** - Any full-time or part-time graduate or undergraduate student, regardless of whether the student receives financial aid from the University or from external sources. It is the responsibility of the students who are also employees of other outside entities to resolve any conflicts between this policy and provisions of agreements with their employers prior to beginning any undertaking at the University that will involve the development of Intellectual Property.

**Tangible Research Property** - Research results in their physical form, and includes, but is not limited to, data, notes, workbooks, software, biological organisms, chemicals, materials, compositions of matter, instruments, machines or devices, drawings, and other property that can be physically distributed. *Tangible Research Property* may also be Intellectual Property.

**Use of Institutional Resources** - The extent to which the creator or inventor directly or indirectly benefited from university materials, equipment, facilities, staff, funding, material support, and other, as

defined by the university attorney and by the Intellectual Property Committee. However, the mere use of an University office does not constitute "use of University resources."

**University** - Refers to the Southern University System which includes the following *campuses*: Southern University and A&M College at Baton Rouge (SUBR); Southern University at New Orleans (SUNO); Southern University at Shreveport, Louisiana (SUSLA); Southern University Law Center (SULC); and the Southern University Agricultural Research and Extension Center (SUAREC).

**University Resources** - All tangible resources, including facilities, provided by the *University* to authors, creators, and inventors, (originators) ) including, but not limited to, office, laboratory, and studio space and equipment; computer hardware, software, and support; secretarial service; research, teaching, and laboratory assistants; supplies; utilities; funding for research and teaching activities, travel; and other funding or reimbursement. "*University Resources*" do not include salary, insurance, or retirement plan contributions paid to, or for the benefit of the author, creator, or inventor.