



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

# **FACULTY HANDBOOK**

**Revised Fall 2025**

## **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any policy or rule of the Board of Supervisors of the Southern University System, State law or regulation, shall be superseded by the Board rule, policy or State law.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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### 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 Keever, 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), Dr. Dolores R. Spikes (1988-1996), Dr. Leon Tarver II (1997-2005), Dr. Edward Jackson (Interim 2005-2006), Dr. Ralph Slaughter (2006-2009), Dr. Ronald Mason (2010-2015), Dr. Ray Belton, President-Chancellor (2015-2022), and Dr. Dennis J. Shields (2022 – Present).

Other Chancellors of the New Orleans campus have been Dr. Dolores R. Spikes (1987-1988), Dr. Robert B. Gex (1988-1997; 2005-2006), Dr. Gerald C. Peoples (1997- 2000), Dr. Press L. Robinson (2000), Dr. Joseph Bouie, Jr. (2000-2002), Dr. Press L. Robinson (2002-2005), Dr. Victor Ukpolo (2006 – 2016) and Dr. Lisa Mims-Devezin (2016 – 2019), Dr. James H. Ammons, Jr. (2020-2025), and Dr. Joseph Bouie, Jr. (2025-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, Southern University at New Orleans is a land-grant and comprehensive institution. The institutions prepare students to compete locally, nationally, and 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 diverse and 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, healthy, 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 Southern Association of Colleges and Schools Commission on Colleges 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 the regional accreditation which covers all programs, the following are accredited by the professional accrediting agencies indicated:

<b>Program Accredited</b>	<b>Accrediting Agency</b>
<b>B.S. Early Childhood</b> <b>B.S. Elementary Education</b> <b>Post-Bac Certificates in:</b> <b>Early Childhood Education (ECED)</b> <b>GR PK-3</b> <b>Elementary Education (ELED) GR 1-5</b>	<b>The Council for the Accreditation of Educator Preparation (CAEP)</b>
<b>B.S.W. Social Work</b> <b>M.S.W. Social Work</b>	<b>Council on Social Work Education (CSWE)</b>
<b>B.S. Business Administration</b> <b>B.S. Computer Information Systems</b> <b>M.S. Computer Information Systems</b>	<b>Association to Advance Collegiate Schools of Business International (AACSB-International)</b>
<b>B.S. Health Information Management Systems</b>	<b>Commission on Accreditation for Health Informatics and information Management Education (CAHIIM)</b>
<b>B.A. Child Development &amp; Family Studies</b>	<b>American Association of Family and Consumer Sciences (AAFCS)</b>
<b>B.S.N. Nursing</b>	<b>Commission on Collegiate Nursing Education (CCNE)</b>



## 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 two events which significantly affected the direction of the institution occurred. 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.

Prior to Hurricanes Katrina and Rita (August and September 2005), each year, approximately 450 undergraduate and 70 graduate degrees were awarded. The University offered approximately 400 different courses and serviced 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 were among the offerings. The University maintained a faculty of about 270, with 67% of the full-time faculty holding the earned doctorate. With the elimination of twenty low completer programs in January 2006, the faculty list was streamlined and the University currently employs approximately 110 full-time faculty and 50 Adjuncts. Approximately 85% of Faculty full-time faculty hold terminal degrees in their discipline.

The University was mandated by the Louisiana Board of Regents to adopt a Selective Admission status effective Fall 2010. Furthermore, the University has since expanded degree offerings to include masters in Museum Studies and undergraduate degree programs in Health Information Management Systems, Forensic Science, Child Development and Family Studies and Public Administration.

The University is currently situated on 60 acres of land incorporating 16 academic, athletic and administrative buildings across the entire campus. Originally, the main campus (renamed Park Campus) was 22 acres with 11 buildings. Following the Katrina Hurricane disaster of August 2005, Joseph S. Clark Hall, the Education Building, was declared to have sustained over 50% damage by the State of Louisiana Facility Planning & Control (FP&C) and was subsequently demolished in 2008. Similarly the Multipurpose Building was demolished in 2015. The boundaries of the Park Campus are Press Drive, Providence Place, New York St., Campus Blvd. and Emmett Bashful St. The original buildings remaining on the Park Campus are: Emmett Bashful Administration, Brown Science Building, Central Heating Plant, Leonard Washington Memorial Library, Cafeteria, Health and Physical Education, New Science, University Center and Facilities Maintenance. All these buildings underwent substantial repairs, mitigation and renovation work before they were re-occupied. In 2013 a new Modular Building Unit was constructed which functions as the University Conference Center. Currently a state-of-the-art ultramodern Natural Sciences building is under construction; it will replace the Brown Science building and New Science building. Similarly, an Arts, Humanities and Social Sciences ultramodern complex is under construction to replace the demolished Multipurpose Building.

In 1993, the University acquired a 38-acre tract of land just north of the main campus. This additional land gave SUNO the option to expand the campus map and increase the academic programs offered to students. The tract is located on Press Drive and Leon C. Simon Boulevard along Pontchartrain Lakeshore. This acquisition proved to be most useful post-Katrina as it was used to develop the university's temporary campus (named Lake Campus), which encompassed more than 40 mobile classrooms and office trailers. In 2012, Federal Emergency Management Agency (FEMA) agreed to remove the mobile trailers and construct two new Modular Building Units for classrooms, faculty offices, conference rooms and computer laboratories. In addition to the Modular Building Units, the Lake Campus currently houses the following buildings: a state-of-the-art Information Technology Center (ITC) building that was completed and occupied in 2010; a \$44M Student Housing facility which was occupied in 2011 and gives the residents a picturesque view of Lake Pontchartrain and Lake Shore Drive; a \$4M College of Business and Public Administration building that was completed in 2011 providing space to support the delivery of quality education, research excellence, community services, and to meet accreditation requirements. A Business Incubator was added to the Business

building in 2015. Also on the Lake Campus, an ultramodern School of Social Work building (Millie M. Charles Building) was dedicated and occupied in January 2018, while a new College of Education and Human Development complex is under construction.

While the University had experienced tremendous growth and development in many areas in its short history (pre-Hurricane Katrina), the mission of the University 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 and was updated in 2013. Because of its commitment to equity and opportunity, the University has always been driven by a need to serve students where they are, academically, when they enter the University. Having served as a beacon light of inspiration to its constituency, the University 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, a public, historically black university, *empowers* and promotes the upward mobility of diverse populations of traditional and nontraditional students through quality academic programs and service to achieve excellence in higher education.

The University provides a sound education tailored to special needs of students with diverse backgrounds 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. The University 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.

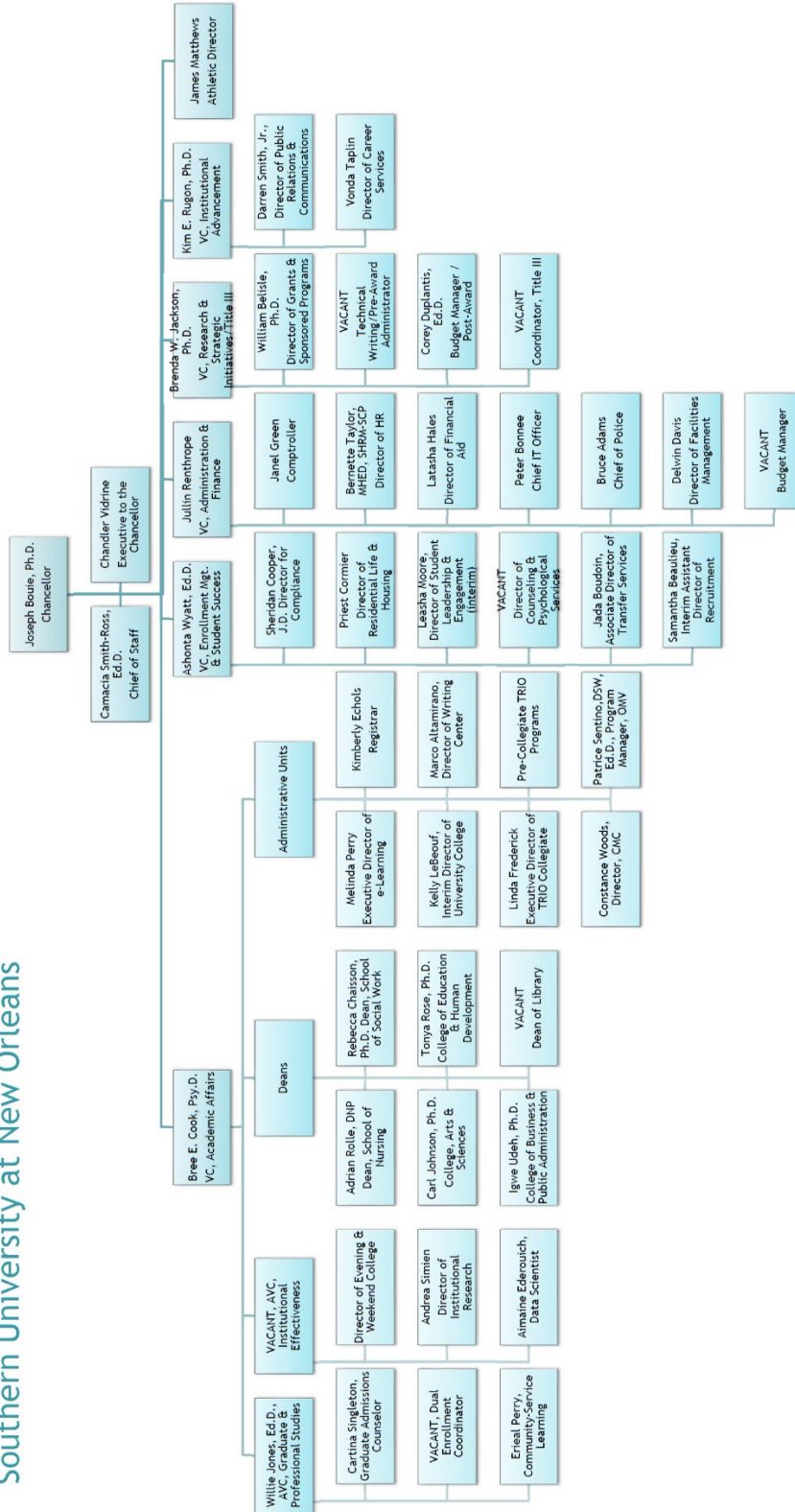
J. Develop an effective program of enrollment management that enables the University to maintain a student body consisting of students who are committed to high academic achievement and who represent diversified social, economic, and geographical origins.

K. Offer a program of public service and contribute to the wellbeing 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.

# Southern University Organizational Chart

## Southern University at New Orleans



## **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 Chief of Staff, Vice President for Finance and Business Affairs, Vice President for Strategic Planning, Policy & Institutional Effectiveness, SU Foundation/Institutional Advancement, Office of Internal Audit, Office for Compliance, Division of Information Technology, General Counsel, and Risk Management.

## **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, policies, 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 at New Orleans**

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

Reporting to the Chancellor, the Vice Chancellor for Academic Affairs provides a visible and viable presence for the Southern University at New Orleans and serves as the Chief Academic Officer responsible for all academic programs of the University. Duties include the supervision of Deans of Academic Colleges and the School of Social Work and School of Nursing, the Registrar, Graduate & Professional Studies and the Directors of Academic Support Units including the University Library, E-Learning, TRIO, Office of Institutional Effectiveness, Registrar, University College and Evening & Weekend Division. Also oversees all university and programmatic accreditation for The Chief Academic Officer assists the Chancellor in the formulation of broad academic policies at the university, and operates as second-in-command when the Chancellor is not available.

### **2.5.2 Vice Chancellor for Enrollment Management and Student Success**

Reporting to the Chancellor, the Vice Chancellor for Enrollment Management and Student Success (EMSS) provides a visible and viable presence for the Southern University at New Orleans. The Vice Chancellor for Enrollment Management and Student Success is responsible for providing leadership and administrative oversight to all aspects of EMSS for the University to ensure the success of the educational mission. This position provides oversight of Recruitment, Admissions, Retention, Student Leadership and Engagement, Housing, Counseling & Psychological Services and College Access programs, thus incorporating the overall responsibilities of Student Success with Enrollment Management.

### **2.5.3 Vice Chancellor for Research and Strategic Initiatives/Executive Director of Title III**

Reporting to the Chancellor, the Vice Chancellor for Research and Strategic Initiatives/Executive Director of Title III provides a visible and viable presence for Southern University at New Orleans. The office is responsible for the over-all coordination and administration of the Title III program and provides the impetus and direction for each of the Title III components. This newly created and renamed position also provides supervision to the Directors of Institutional Research, Effectiveness and Strategic Planning, Grants and Sponsored Programs and Budget Manager/Post Award Administrators. 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. Other responsibilities include developing and implementing programs to strengthen institutional decision-making.

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

Reporting to the Chancellor, the Vice Chancellor for Administration and Finance is responsible for matters related to financial and budgetary operations of the campus, as well as the physical plant, property and grounds of the campus and personnel. 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 supervises the administration of the Offices of Human Resources, Central Stores & Property, Maintenance, Purchasing, Financial Aid Student Accounts and General Services; provides budget information to the System Vice President for Finance and Business Affairs; submits an annual budget to the Chancellor; and makes recommendations regarding the execution of the budget once it has been approved. The Vice Chancellor for Administration and Finance has the support of an Assistant to the Vice-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 of Institutional Advancement**

Reporting to the Chancellor, the Vice Chancellor of Institutional Advancement provides a visible and viable presence for Southern University at New Orleans as the Alumni Director and the officer in charge of community outreach and university advancement initiatives. Additionally, provides supervision to the Public Relations Director. It is the fundraising arm of the university, which plans, coordinates and implements activities of the university, primarily through the foundation. The officer is responsible for the policy-making, planning, development, implementation and overall administration in cooperative extensive programs and creates and maintains a productive dynamic environment for the use of current technologies in outreach education. The officer also organizes a working environment that encourages creativity, adaptability and cost-effectiveness in meeting mission and goal of the cooperative extension program. This office also oversees Career Services.

### **2.5.6 Associate Vice Chancellor for Academic Affairs, Dean, Graduate & Professional Studies**

The Associate Vice Chancellor for Academic Affairs & Dean of the Graduate & Professional Studies Dept. reports directly to the Vice Chancellor for Academic Affairs. Currently this person serves as the University's SACSCOC Accreditation Liaison and functions in a senior leadership position to provide direction and coordination of academic programs. This officer also functions as the senior officer assisting the Vice Chancellor with the administration of academic policies and other matters including. See APPENDIX I for Graduate Faculty Policy.

### **2.5.7 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.

#### **2.5.8 Executive Assistant to the Chancellor**

Duties and responsibilities of the Executive Associate to the Chancellor 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.

#### **2.5.9 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.

#### **2.5.10 School and College Deans**

School and College Deans provide general leadership for the school and 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 school or college. Other expectations and responsibilities include:

1. Assuming leadership in seeing that the programs of the schools and colleges are advanced to the highest levels of excellence.
2. Insuring the participation of Department Chairs, faculty and students in decisions which affect the University.
3. Encouraging participation of faculty and students in scholarly, professional and community activities.

4. Representing the schools and colleges in the formation of University policy and giving leadership to the implementation of University policy that affects the school or college.
5. Interpreting rules, regulations, policies and procedures to members of the school or college; reviewing beforehand with the Vice Chancellor for Academic Affairs problems involving clarification and/or differences of opinions.
6. Providing orientation programs for Department Chairs for the interpretation and execution of university policies and procedures.
7. 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.
8. 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.
  - d. Providing orientation to faculty on completion of RTP dossiers.
9. Administering the school or college by:
  - a. Insuring that each department chair submits and administers a budget.
  - b. Supervising and evaluating the school or college's clerical personnel and controlling the college supplies and equipment.
  - c. Presiding at monthly school or college meetings.
  - d. Meeting monthly with Department Directors chairpersons, individually or collectively.
10. Coordinating, collecting and submitting to the Vice Chancellor for Academic Affairs data and information on:
  - a. Teaching load and office hours.
  - b. Summer faculty teaching recommendations.
  - c. Monthly faculty meeting minutes.
  - d. All other reports requested by the Vice Chancellor for Academic Affairs.
11. 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.
12. 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.

### **2.5.11 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.

### **2.5.12 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. Departmental Chair Policy can be found in APPENDIX F. 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 making teaching assignments to cover the normal workday, i.e., including day, evening, weekend, and off-campus 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.
  - e. Providing orientation to faculty on completion of RTP dossiers.
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, evening, weekend, and off-campus 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 deans and directors in scheduling and staffing of day, evening, weekend, and off-campus classes.
13. Providing leadership in student development by:
- a. Ensuring sound academic advisement for all day and evening majors in the department.
  - b. Working with graduates and graduating seniors in job placement and graduate study.
14. Providing leadership in research and planning by.
- a. Encouraging and participating in developing the 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 and scholarly publications.

### **2.5.13 Program Director and Coordinator (Academic Programs)**

Program Directors and Coordinators administer individual degree programs within a college. Directors are responsible to the College Dean, while Program Coordinators are responsible to Department Chairs. The duties of the Program Directors/Coordinators are to coordinate class schedules, teaching loads, accreditation responsibilities when applicable to the program, monitor and evaluate the effectiveness of the unit, initiate requests for curriculum changes, and work with faculty on student advisement.

### **2.5.14 Dean, Library**

The Dean of the University Library is responsible for formulating and administering library policies, rules and regulations and its budget.

### **2.5.15 Registrar**

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

### **2.5.16 Director of Admissions (Undergraduate) & Recruitment**

Reporting to the Vice Chancellor for Enrollment Management & Student Success, the individual uses judgment and initiative to perform a variety of duties in support of management, staff and operations of the Office of Admissions & Recruitment and observes all University policies and account for all property assigned. This person will oversee & Supervise the timely admissions and correspondence to first-time freshmen, transferring, returning, summer-only, certifying, special, and other students who are eligible to enroll.

### **2.5.17 Director of Evening & Weekend College**

Reporting to the Associate Vice Chancellor for A Institutional Effectiveness, the Director of Evening and Weekend College will lead and coordinate administrative operations necessary for the smooth running of all evening and weekend classes in support of initiatives to promote enrollment.

### **2.5.18 Associate Vice Chancellor of Institutional Effectiveness**

The Vice Chancellor of Institutional Effectiveness reports to the Vice Chancellor for Academic Affairs

### **2.5.19 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.

### **2.5.20 Director of Facility Management**

The Director of Facility Management/Safety & 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.

### **2.5.21 Director of Human Resources**

The Human Resources Director guides and manages the overall provision of Human Resources services, policies, and programs for the university. The Human Resources Director originates and leads Human Resources practices and objectives that will provide an employee-oriented, high-performance culture that emphasizes empowerment, quality, productivity and standards, goal attainment, and the recruitment and ongoing development of a superior workforce.

## **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. 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 Council of Deans and Directors**

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**

See APPEDIX H for Graduate Faculty Policy.

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 and Human Development Council (TEHDC)**

The Teacher Education and Human Development 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 and Human Development 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 Vice Chancellor of Academic Affairs, or their designee 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 Director 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 . 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 Director of the Library 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 of the University 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.

### **3.4 Organizations**

#### **3.4.A. The Faculty Senate**

##### Statement of Shared Governance

The Faculty Senate is the elected body and the official voice of the faculty and recognized by the administration and the Board of Supervisors. The Senate serves as an advisory body to the University administration on matters pertaining to faculty welfare, governance, professional growth, academic freedom and security. The Senate also promotes and sponsors activities which are of academic and cultural interest to the University.

Please see APPENDIX E for the The Constitution and Bylaws of the Faculty Government of Southern University at New Orleans.

#### **3.4.B. The American Association of University Professors (AAUP)**

The AAUP is a national organization of college and university professors with chapters on campuses. Membership is open to all teaching staff below the position of Dean. Deans may hold associate membership.

#### **3.4.C. The American Federation of Teachers (AFT)**

The AFT is a national organization of teachers. Membership is open to all faculty members. This organization is commonly known as the Union.

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

### **4.1 Definition of Faculty**

Faculty members are university officers who are required to contribute to the attainment of the mission of the institution. It is a basic responsibility of the faculty to participate in the development of educational policy through active and constructive involvement in the academic affairs of their respective departments, colleges or schools.

Faculty and other academic staff members 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 **Southern University System 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

## **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 (**Southern University System Bylaws 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.

The letter of appointment should indicate the level of appointment and the date for application for promotion and tenure.

## **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. **(Southern University System 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. **(Southern University System Bylaws and Regulations, Part III, Chapter II, Section 28.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. **(Southern University System 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. **(Southern University System 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. **(Southern University System Bylaws and Regulations, Part III, Chapter IV, Section 4-6.)**

**Part-time.** A short-term 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 tasks. 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 to staff a course, offered either during the day, evening, weekend or off-campus, 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. (**Southern University System 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.

See APPENDIX I FOR Graduate Faculty Policy.

#### **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, with consultation with program faculty, 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 the 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 Department Chair/Program Director, in consultation with, College Dean, Vice Chancellor of Academic Affairs 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. All applications should be submitted directly to the Administrative Assistant to the V.C. for Academic Affairs for proper documentation. All applications received will be submitted to the Chair of the Search Committee after the deadline. Office of Academic Affairs will keep a complete set of applications for safety.
4. Positions of dean, director or equivalent and above must receive approval from the Southern System 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 up to three qualified persons, ranked, to fill the position. If less than three qualified candidates are identified the committee can recommend less than three. 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 or designee shall issue a letter of appointment to the appointee setting forth the terms and conditions of the appointment. For further information refer to **Southern University System Bylaws and Regulations, Part III, Chapter II and Policies and Procedures.**

### **Part-time Faculty**

A part-time faculty member (also known as adjunct) is one whose appointment is less than 100 percent and whose appointment is made through a department, school or 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 practices and policies 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. Department Chair/Program Director in the respective disciplines are responsible for orientation, supervision, and evaluation of all part-time faculties. Department Chair/Program Director shall make every attempt to ensure that part-time faculty are 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 teach courses offered off-campus, or in the evening or on weekends are employed as adjunct faculty with a one-term contract. Faculty employed for adjunct teaching 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 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. In exceptional cases, the practical experience is sufficient to make exceptions to standard academic credentials and are subject to meeting the standards of appropriate accrediting agencies. **(Southern University System Bylaws and Regulations, Part III, Chapter II, Section 2-6)**

Adjunct 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 appointments do not carry academic rank, are for a limited time period, and do not lead to tenure.

Recommendations for teaching courses are made by the faculty of each department via the Department Chair/Program Director to the Dean of the School or College. The recommendations must be approved by the Vice Chancellor for Academic Affairs, the Chancellor. Sufficient enrollment, as determined by the Chancellor or designee, must be obtained for classes to be taught.

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 accredited university in his/her 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.

## **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 Department Chair/Program Director through their respective Deans and the Office of Academic Affairs on the basis of teaching needs and requirements of the summer program. 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 during a summer session will normally be two-ninths of the nine months' base salary (compensation formula) 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. **(Southern University System Bylaws and Regulations, Part III, Chapter II, Section 2-8.C)**

For classes that are not full, compensation will be based on the formula specified in APPENDIX G. Faculty may choose to not teach any class that is converted to this formula for compensation. The purpose of the summer compensation policy for voluntary agreement is two-fold: First is that no classes will be cancelled to the disadvantage of students and faculty. Second is that faculty receive summer teaching compensation in a predictable and reliable way.

### **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, salary, University phone numbers, 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 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 Southern University System Bylaws and Regulations, Article VIII, Section 1.)** The principle of academic freedom shall be recognized in all personnel actions about academic staff. **(See Southern University System Bylaws and Regulations, Part III, Chapter II, Section 2-5.)**

#### **4.5 Academic Responsibilities 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, 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 teachers.
- c. Recognizing that faculty members should serve as models in shaping the minds of students. Thus, faculty must strive to set a high standard and excellence in academics and scholarship, 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, creative art exhibitions, 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 a 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 or on ad-hoc 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. Participation in commencement exercises is encouraged. It is the responsibility of each faculty member to obtain 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.

Every Department Chair/Program Director 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 any course(s) failed. Students must be advised that satisfactory academic progress must be maintained in order to continue in the program, or to receive financial aid. If during the advisement, it appears that some type of non-academic counseling is in need, the faculty member should refer the student to the appropriate support facility and/or services.

### **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 and University shall provide faculty development opportunities to faculty members via support for attendance at workshops, seminars and professional meetings. The University shall support classroom environments that are conducive to learning and teaching, and provide support for the use of technology in the classroom. The University shall provide a system for mentoring of junior faculty by senior faculty. The overall goal is to enrich and strengthen the professional development of the faculty and to promote and encourage teacher effectiveness and scholarly productivity.

### **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, gender identity, sexual orientation, 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 beginning of the second academic year of the probationary appointment. The length of service will be reflected in the review process. 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 a formal application, appropriate signatures, all requested documents, and an updated curriculum vitae (résumé). It is the responsibility of the applicant to review the contents of the application for thoroughness and to present the documentation in the order it is requested. (See Appendix A for this Guide). 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 or Program Director. 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 will 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. The original shall remain in 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 (**Southern University System Bylaws and Regulations, Part III, Chapter II, Section 2-8.B.2**)

#### **4.6.1.C Levels of Review for Retention, Tenure and/or Promotion (RPT)**

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. The applicant should receive written notice of the outcome at each evaluation phase. 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. 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. Upon review of the appeal, the Chancellor's decision shall serve as the final action if it agrees with the recommendation on the Retention, Tenure, and Promotion Committee; Otherwise, the affected faculty member can appeal up to the System's 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 (See APPENDIX A and APPENDIX B).
- 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/her review and recommendation. The department's RTP Committee shall be comprised 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 Department Chair/Program Director 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 Chair/Program Director shall receive the department RTP Committee's recommendation and, considering it, will conduct his/her evaluation of each probationary faculty member.
- b. The Department Chair/Program Director 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 Chair/Program Director may be appealed to the College/School RTP Committee, via the dean by the 10th work day following the receipt of the written notification.
- d. **For the Retention Process Only:**
  - 1) If the review results in a positive recommendation by both the Departmental RTP Committee and the Department Chair/Program Director, the dossiers and/or supporting reports (RTP Committee and Chair) shall be submitted to the Dean, for review (by the college RTP Committee and Dean if requested by the Dean) and concurrence. If the Dean approves the Departmental recommendations, the Dean's shall be the final signature on the application. The dossier can then be returned to the faculty member. However if the request is not approved by the Dean, the dossier shall be sent to Academic Affairs and the applicant has 10 working days to appeal to the Vice Chancellor of Academic Affairs.

2) If either the Departmental RTP Committee's or Chair's/Director's recommendation is negative, a review by the College RTP Committee and college Dean shall be carried out. The candidate's dossier shall be given to the college Dean for the College RTP Committee and Dean's evaluation and recommendations. The Vice Chancellor for Academic Affairs shall review the dossier and approve (or disapprove) the applicant's retention. If the Vice Chancellor's recommendation is negative the applicant shall have 10 working days to appeal to the Chancellor.

e. **Retention Flow Chart: (\*See graphic at section end)**

**\*In event of the Department Chair/Program Director receiving a negative recommendation from the Department RTP Committee, the evaluation process shall proceed through the following review and evaluation stages:**

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

- a. The Dean shall forward all recommendations, evaluations and documentation received from the Department Chair/Program Director 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. (Southern University System Bylaws and Regulations, Part III, Chapter II, Section 2-8.B.2)**

### **4. Dean's Review and Evaluation**

The dean shall conduct his/her evaluations and render recommendations, based on his/her 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. (Southern University System Bylaws and Regulations, Part III, Chapter II, Section 2-8.B.2)**

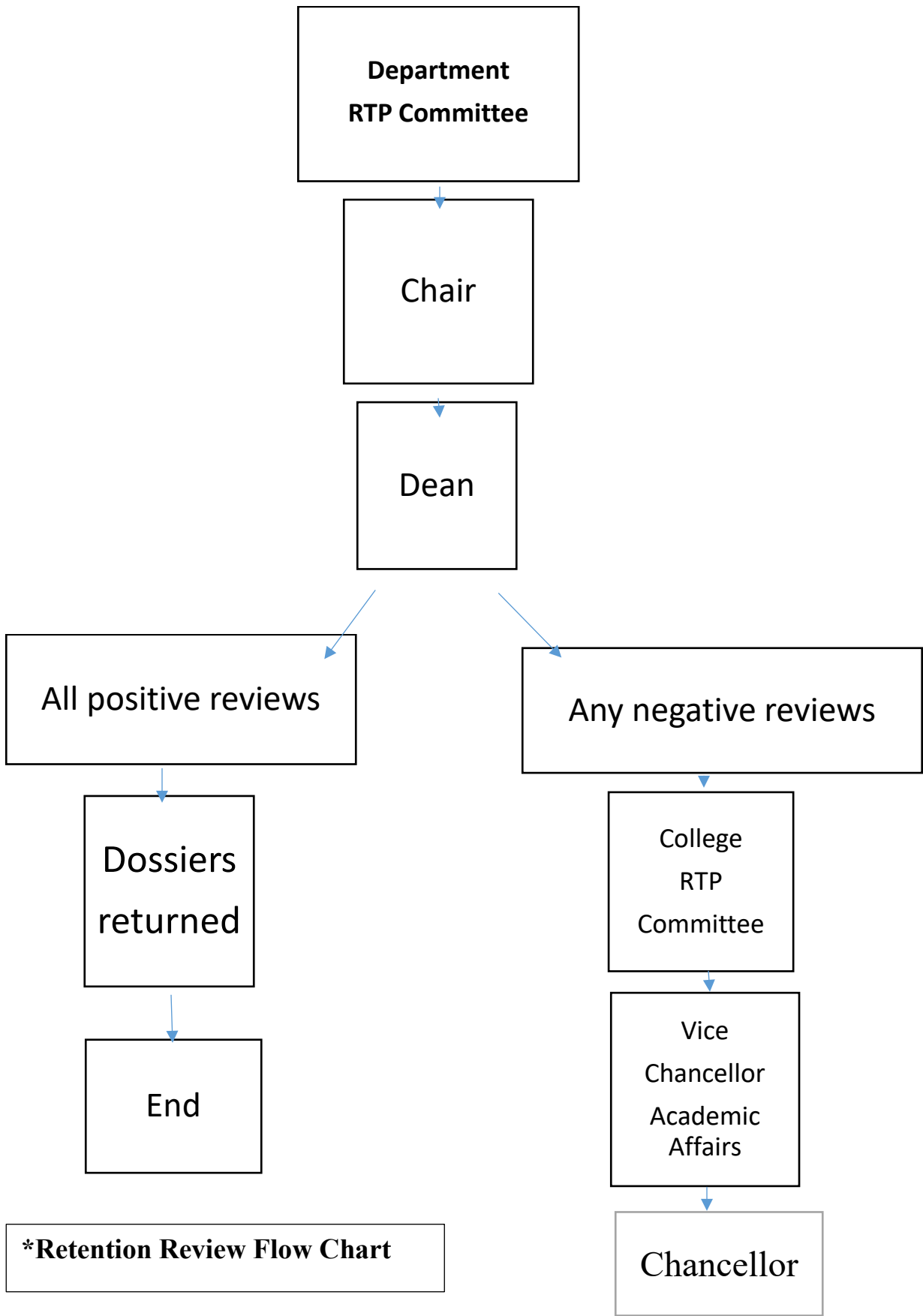
#### **5. Vice Chancellor for Academic Affairs Review and Evaluation**

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. (Southern University System 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 (Southern University System 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.



**\*Retention Review Flow Chart**

#### **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. 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 (See RTP application Timeline under retention section)**

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, gender orientation, sexual orientation, disability, 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.
  - f. Faculty members initially employed at the rank of professor or equivalent shall serve a probationary period of two 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 comprised of 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. In this circumstance a letter of support must be submitted in the dossier. 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. The applicant should receive written notice of the outcome at each evaluation phase. In the 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. 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/her department or academic unit using the criteria published for this purpose.
- b. Upon receipt of tenure applications, the chairperson/director 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

Department Chair/Program Director 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 The Department Chairperson's/Director's Review and Evaluation**

- a. The Department Chair/Program Director 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/Director 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/director, 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 The 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 selected 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 10th work day following the receipt of the written notification.

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

The dean shall conduct his/her evaluations and render recommendations, based on his/her 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/Evening & Weekend Affairs Review and Evaluation**

The Vice Chancellor for Academic Affairs 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. Appeals must be received by the 10<sup>th</sup> work day of the receipt of written notification. The chief academic officer will assemble the Retention, Tenure and Promotion Appeals Committee to deliberate on appeals by January 15<sup>th</sup> 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. The application shall include a current curriculum vitae (or resume).
- 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 past successive two years 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.

### **4.8 Academic Promotion**

Promotion from one academic rank to the next shall be based on merit in accordance with established criteria. 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, gender, gender orientation, sexual orientation, disability, color, creed, or age shall not be factors in the evaluation of an applicant for academic promotion. It is the responsibility of the faculty member to determine whether he/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.

**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.** Early application for promotion must have the support of the department chair and the college dean. 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. (See Table 1 in Appendix A for guides)

**Associate Professor to Professor--Application for promotion shall be made during the fourth 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. (See Table 1 in APPENDIX A for guidelines).

#### **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. The applicant will submit all documents required for review. (See APPENDIX A for document guidelines).

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.
  
3. **Materials in support of an application for promotion shall include supporting documentation of teaching, scholarship, service and :**
  - a. copies of students' evaluations of the faculty member for the last three (3) successive years at SUNO;
  - b. copies of the peer evaluations of the faculty member for the last three (3) successive years at SUNO;
  - c. copies of the chairperson's/director's evaluations of the faculty member for the last three (3) successive years at SUNO;
  - 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.
  
4. **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 at SUNO 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 at SUNO 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).**

#### **4.8.2 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. The same timelines and guidelines for applying for Retention or Tenure are applied for application of Promotion. Applicants should review Table 1 (in Appendix A) for a general guide concerning points associated with each level of promotion.

#### **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/her 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/director 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/director makes his/her recommendation based on his/her review of all supporting documents. Upon completion of the review, the Chairperson/director 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/director 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. .

### **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 forfeiture of benefits.
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.

(Contact HR to see if this policy represents current procedures)

- 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 (15) 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 without prior written authorization by the university. Faculty members shall not engage in outside employment which 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.

## **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 faculty members will be paid at the end of the term.

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.

## **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. Finally, following approval of the Louisiana Board of Regents, the Office of the Vice Chancellor for Academic Affairs shall submit an appropriate Substantive Change report to Southern Association of Colleges and Schools-Commission on Colleges (SACSCOC) following SACSCOC'S policy on Substantive Change, for final approval.

#### **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 Board of Regents (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. A Substantive Change request, a Teach Out Plan, must be made to SACSCOC outlining plans to assist students already registered in the program to graduate.

## **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 than 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**

The Vice Chancellor for Academic Affairs in consultation with the Catalog and Calendar Committee shall prepare a University Calendar at least one year prior to a given academic year. This calendar shall be made public in University publications and posted on the University website. The academic year traditionally starts in August and ends when Spring semester grades are due 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 a syllabus at the beginning of each term. Syllabi should be reviewed and updated each semester that a course is offered. Syllabi should include instructional methods, objectives, grading criteria attendance policy, email response time and office hours.
3. Ensure that course instruction conforms to 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 with at least 4 different assessments, and provide students opportunities 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 office hours which are convenient to students and the teacher as specified in 7.6 Office Hours.
8. Maintain accurate records of class attendance..
9. Advise assigned students in accordance with their curriculum.

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

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

1. Continue their professional growth and development.
2. Participate in the advancement/governance 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. Department deans and chairs are recommended to offer overloads to current full-time faculty prior to requesting or hiring an adjunct faculty.

2. Part-time faculty members teaching courses for credit must meet the same requirements for professional, experiential and scholarly preparation as their fulltime counterparts teaching in the same discipline.
3. 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.
4. 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.
5. Chairpersons will assign office space as appropriate for part-time faculty members to carry out their academic responsibilities during the term of appointment.
6. Part-time faculty members will receive letters of appointment.
7. Compensation for Part-time faculty and Adjunct faculty is at the following flat rates per class.
  - a. Teaching a three (3) credit hour undergraduate course will be compensated at a flat rate of \$ 2,500 per course; and teaching three (3) credit hour graduate courses will be compensated at a flat rate of \$3,000.
  - b. Teaching one (1) or two (2) credit hour courses will be compensated at one-third (1/3) the three-credit hour rate and two-thirds (2/3) the three-credit hour rate, respectively.
  - c. Teaching a four-hour course one third of the three-hour rate will be added to the three-hour rate at the level of instruction (undergraduate or graduate).
  - d. In cases where a faculty teaches two or more courses that include both undergraduate and graduate courses, the faculty will be paid at the graduate (higher) rate.
  - e. This compensation is the same as overload compensation for full time faculty.
8. Part-time faculty appointments may be for one semester or one academic year at a time.
9. 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, accreditation agencies

review records with the expectation 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 Comprehensive Communication.

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 twelve (12) credit hours for persons engaged in undergraduate instruction only; nine (9) credit hours for persons teaching graduate courses or one undergraduate course plus two graduate courses; and six (6) 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, release time, and in those instances where the University's mission can best be achieved by assigning fewer hours.

Regular Instructional Staff Teaching Loads		
	Fall Semester	Spring Semester
Undergraduate Teaching Load	12 Credit Hours	12 Credit Hours
Graduate Teaching Load	9 Credit Hours	9 Credit Hours

Graduate + Undergraduate Teaching Load	9 Credit Hours	9 Credit Hours
Department Chairs/Directors/Academic Program Coordinators	6 Credit Hours	5 Credit Hours

\*Course Seat Minimums: Undergraduate courses must have 15 students, 8 students for master's, and 5 for doctoral programs

\*\*Science Lab Course Maximums are 16 students

b. Summer Sessions

During summer semester, the maximum teaching load is a total of nine (9) undergraduate or six (6) 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, departments of instruction where teaching loads are specified by accrediting agencies, release time, and in those instances where the University's mission can best be achieved by assigning fewer hours. Refer to 4.3.3 Summer Compensation (Appendix G).

Minimum enrollments for full summer faculty load for undergraduate, master's and doctoral programs are provided below:

Undergraduate	Master	PhD
15	8	5

- Clinical or practicum classes needing to meet accreditation and certification needs will be exempt from the minimum threshold of the number considered for full enrollment.
- Classes with low enrollment below four students (4) shall be **cancelled immediately during the first week** of summer to give students time to enroll in other classes.
- The 7th class day should be used to determine the faculty compensation and the number of paid students. **EPAFS for faculty shall be prepared on the 10th day of summer classes**

2. Deans

Deans are primarily responsible for the administration of their respective colleges. However, when feasible, Deans shall teach at least **one course per academic year** to maintain direct contact with students and faculty. Exceptions may be granted by the Chancellor or Vice Chancellor for Academic Affairs when administrative responsibilities preclude teaching.

3. 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 (3) credit hours.

Each Department Chair must teach one 3-credit hour course at no additional compensation, per the Department Chair Policy, Chapter 2, Sect 2.5.13, pp 18-20. This is for both undergraduate and graduate level courses. Chairs who teach a second course during the summer session will be compensated at the adjunct rate for that course.

In case the class of the chair is cancelled, the chair will continue to receive the one-ninth of the basic salary compensation for the administrative duties.

#### **4. Program Coordinator Summer Administrative Duties**

In cases where program coordinators are assigned administrative work or special projects at the request of the Vice Chancellor of Academic Affairs during the summer term, the coordinator shall continue to receive the one-ninth of the basic salary compensation for these administrative responsibilities, regardless of course cancellation.

#### **5. Library Faculty**

Each nine-month Library faculty employed part-time during the summer will receive one-ninth base salary in exchange for 20 contact hours of work each week.

Each nine-month Library faculty employed full-time during the summer will receive two-ninth base salary in exchange for 40 contact hours of work each week.

#### **6. Reduced Teaching Loads**

Chairpersons, division heads, program coordinators, 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 Dean or division head in consultation with the Vice Chancellor for Academic Affairs. 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 no more than three courses (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 at New Orleans 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 originate in the Department, approved by the College Dean, then forwarded to the Vice Chancellor of Academic Affairs.

Compensation for overload is at the following flat rates per class. (See APPENDIX G: Summer Pay Adjunct and Overload Policy)

- a. Teaching a three (3) credit hour undergraduate course will be compensated at a flat rate of \$ 2,500 per course; and teaching three (3) credit hour graduate courses will be compensated at a flat rate of \$3,000.
- b. Teaching one (1) or two (2) credit hour courses will be compensated at one-third (1/3) the three-credit hour rate and two-thirds (2/3) the three-credit hour rate, respectively.
- c. Teaching a four-hour course, one-third (1/3) of the three-hour rate will be added to the three-hour rate at the level of instruction (undergraduate or graduate).
- d. In cases where a faculty teaches two or more courses that include both undergraduate and graduate courses, the faculty will be paid at the graduate (higher) rate.
- e. This compensation is the same as for adjunct faculty.

## **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/their office two hours for each 3-credit hour class taught (including summer sessions) with a maximum of eight hours. 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 expected to attend the opening convocation and other scheduled pre-semester activities each semester.

## **7.8 Class Syllabus**

Faculty members must provide syllabi to their department chair and the students in each of their classes at the beginning of each term. At a minimum, syllabi should include instructional methods, objectives, grading criteria, and attendance policy, email response time, and office hours.

## **7.9 Class Periods**

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. Monday, Wednesday, and Friday classes are held for fifty minutes and Tuesday-Thursday

classes are held for seventy-five minutes. Laboratory, special classes, including evening and weekend classes follow a different schedule.

### **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 on assignments should be maintained and submitted electronically to the department chairperson at the end of each term. Official class lists are accessible by Faculty electronically from the first day of class. Instructors should utilize class lists to verify class attendance and to record all class activities for the semester. Students whose names do not appear on the class list should be advised to complete the enrollment process before 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 for undergraduate students: “A”-exceptional; “B”-above average; “C”-average; “D”-below average; “F”-failure; “I”-incomplete; “W”-withdrawal. and “FX”-failure with excessive absence.

For graduate students, the following alternate system of grading is used: “A”-Excellent; “B”-satisfactory; “C”-minimal passing; “F”-failure; “I”-incomplete; “W”-withdrawal; and “FX”-student never attended class (calculated as an “F”).

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 Banner and the LMS by the Faculty. These grades are validated by the office of the registrar in accordance with an established and announced schedule. All assignment grades, including exams, labs, projects, etc must be recorded timely and in the LMS. Copies of grade reports shall be transmitted to the dean of the college/school and to the chairperson of the department if requested.

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

Faculty members are required to maintain an electronic roll book in the LMS, and/or turn in a hard copy roll books to their department chair at the end of each semester and summer term. The department chair is responsible for maintaining these roll books 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, the dean of the instructor's college and Vice Chancellor of Academic Affairs, 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 Faculty submits final grades into Banner at the end of each semester. Also, the Faculty submits a signed Distribution of Grade Form to the Registrar at the end of the each semester as validation of grades.

### **7.20 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. Chairs are annually evaluated by Department Faculty, Deans are annually evaluated by Chairs, Vice Chancellor for Academic Affairs and students when they teach a class during the evaluation period.

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.

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

For the fall and spring 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 Office of Institutional Effectiveness and Strategic Planning or equivalent office will generate evaluation forms 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. Office of Institutional Effectiveness and Strategic Planning 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 Office of Institutional Effectiveness and Strategic Planning 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 Department Chair 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.
- Office of Institutional Effectiveness and Strategic Planning will notify faculty members in the second week of the following semester that the two course evaluations are in their custody.
- 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.
- Results of the evaluation of faculty by students will be made available to the faculty member upon request if it is not provided by the 9<sup>th</sup> week of the period following the semester for which the evaluation was conducted.

**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 (Details)**

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. See APPENDIX D for further clarification on grievances.

##### **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, sexual orientation, gender identification, 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 or 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 item 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, nonvoting 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. **(See Policy Guidelines, Appendix E)**

## **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 held in the utmost confidence, but the matter will be investigated and dealt with expeditiously. (Refer to 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. 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, are 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 the commencement exercise, dressed in full academic regalia. Faculty members are expected to attend the annual honors and awards ceremony.

### **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**

Faculty 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 wellbeing 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. Southern University encourages formation and maintenance of a Biosafety Committee to support scholarly activities of faculty and students. 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. Southern University encourages formation and maintenance of a Biosafety Committee to support scholarly activities of faculty and students. 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.

#### **8.6 Policy for Grants Compensation**

See Appendix H for Grants Compensation Policy, an adoption the current policy of Southern University System.

## 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 trying 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

#### 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
  2. Article published or accepted for publication
    - Refereed journal -- 10 points
    - Non-refereed journal -- 5 points
  3. Creative works performed or displayed National scale -- 10 points
    - General public (Regional) -- 7 points
    - Limited (University only) -- 5 points
  4. Published abstracts, annotated bibliography, reviews, handbooks & brochures
    - National -- 5 points
    - Regional -- 3 points
    - Local -- 2 points
  5. Editorial Involvement
    - Editor of a refereed journal or chairperson of an editorial board -- 10 points
    - Editor of non-refereed journal or chairperson of an editorial board -- 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
    - Member of a review panel for creative works -- 2.5 points
- B. Research in Progress

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

Grants submitted (approved by OSP): 2 points; Grants awarded: 5 points.

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 (A person can receive credit for one of the following categories -- A1 to A4)

Attainment of earned terminal degree

in teaching discipline -- 8 points

not in teaching discipline -- 6 points

Completion of all but dissertation (within the last five years) -- 4 points

Completion of course work (ABD), but not of foreign language requirements, general examinations, or other required examinations, for the terminal degree in major teaching discipline -- 3 points

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 (Only points in one area from A1 to A4)

#### B. Experience

1. Full Time Teaching experience (excludes part-time; teaching assistantships; and adjunct teaching)

a. College or University level – 1/2point per year up to 20 years

b. Non-college level teaching – 1/4 point per year up to 16 years

2. Other professional experience in discipline area – 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., with significant contributions to scholarly learning; over past five years – 0 to 3-points

### IV. Leadership in Professional Activities and/or Community Service (– 0 to 15 points maximum in this area)

#### A. Professional activities with demonstrated leadership over past five years – 0 to 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 points per office

c. local level -- 1 point per office

Total is not to exceed 5 points

2. Service on a committee of a professional organization as

a. chairperson

- National -- 1.5 points each
  - Regional -- 1 point each
  - Local -- .5 points each
  - Total is not to exceed 4 points
- b. an active member -- .5 points each
  - Total is not to exceed 3 points
- 3. Presentations at seminars, conventions, or conferences
  - National -- 4 points each
  - Regional -- 2.5 points each
  - Local -- 1 point each
  - Total is not to exceed 4 points
- 4. 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 points each
  - Total is not to exceed 2.5 points
- 5. Securing of grants for University programs -- 2.5 points per grant.
  - Total is not to exceed 5 points
- 6. Active membership in honor societies of professional organizations -- .5 points each
  - Total is not to exceed 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 or governmental authority as
    - a. an officer
      - President -- 2 points
      - Vice President -- 1.5 points
      - Secretary or Treasurer -- 1 point
      - All other officers -- .5 points
    - b. chairperson of a committee but not an officer -- 1.5 points
    - c. an active member only -- not an officer or chairperson -- 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
      - President -- 2 points
      - Vice President -- 1.5 points
      - Secretary or Treasurer -- 1 point
      - All other officers -- .5 points
    - b. A committee chairperson not an officer -- 1.5 points
    - c. an active member, not an officer or chairperson of a committee -- 1 point
- V. University service over past five years -- 10 points
  - Chairperson of a standing committee at
    - 1. University level -- 1.5 points per appointment

- 2. College or department level -- 1 point per appointment Total is not to exceed 3 points
- B. Active member, other than chairperson, of standing committee at
  - 1. University level – 1 point per appointment
  - 2. College or department level -- .5 points per appointment
 Total is not to exceed 4 points
- C. Sponsor of campus organization -- 1 point each  
Total is not to exceed 4 points
- D. Member of University Ad Hoc Committee 1 point each  
Total is not to exceed 4 points
- E. President of Faculty Senate -- 3 points per term  
Total is not to exceed 6 points
- F. Other officers for  
Faculty Senate – 2 points per term  
Total is not to exceed 4 points
- G. Senate-appointed Committee -- 1 point per term  
Total is not to exceed 2 points
- H. Member of Faculty Senate Committee who is not an officer or chairperson -- 1 point per term  
Total is not to exceed 3 points.
- I. 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 -- 1.5 points  
Total is not to exceed 3 points
- J. Participation in organized student recruiting efforts -- 1.5 points  
Total is not to exceed 3 points

VI. Advisement – 0 to 10 points (VCAA should develop a rubric for assessing quality of faculty advisement)

Mentoring is a complex process that often entails interacting with, informing, supporting, challenging, and guiding. At the graduate level, it may be a one-to-one relationship between the advisor and the students. Advisement is taken to include academic and professional consultations with students.

Good advisement will be manifested 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 Table I show the minimum points that qualify an applicant to be eligible for consideration for promotion in academic rank. 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 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 Step increases and Promotion in Rank

	Instructor to	Assistant Professor to	Associate Professor to
<b>Criteria</b>	Assistant Professor	Associate Professor	Professor
I. Teaching	13	20	35
II. Research	10	18	25
III. Professional Training and Experience	6	8	12
IV. Professional Activities	7	10	12
V. University Service	3	6	10
VI. Advisement	3	5	7
<b>*TOTALS</b>	<b>72</b>	<b>83</b>	<b>94</b>
<b>*Not the Column sum</b>			

**Table 2**



## Tenure at the Rank of Associate Professor (Without Promotion) – Scoring Rubric

### Purpose:

This rubric evaluates candidates seeking **tenure at the rank of Associate Professor without promotion**. Candidates must meet or exceed the **minimum point requirement** in each category and earn a **total score between 83 and 93** points to be recommended for tenure.

---

Criteria	Minimum Points Required	Description of Expectations
<b>I. Teaching</b>	<b>16</b>	Sustained excellence in teaching, including effective instructional methods, curriculum development, innovative pedagogy, and positive student evaluations. Evidence may include peer reviews, teaching awards, or integration of research into teaching.
<b>II. Research / Scholarly Activity</b>	<b>18</b>	Active and ongoing scholarly contributions to the field through peer-reviewed publications, presentations, funded research, or other recognized outputs. Demonstrates consistent impact in the discipline.
<b>III. Professional Training &amp; Experience</b>	<b>8</b>	Continuous professional growth via workshops, certifications, advanced training, or professional work that enhances teaching and disciplinary expertise.
<b>IV. Professional Activities</b>	<b>10</b>	Active engagement in professional organizations, service on editorial boards, conference participation, or collaborations that advance the profession.
<b>V. University Service</b>	<b>6</b>	Meaningful service to the institution through committee participation, faculty governance, and contributions to university initiatives.
<b>VI. Student Advisement &amp; Mentorship</b>	<b>5</b>	Effective student advising and mentoring in academics, career planning, and research. Accessibility and commitment to student success are demonstrated.

---

### Total Score Requirement for Tenure (Without Promotion)

- **Minimum Total: 83 points**
- **Maximum Allowed: 93 points** (a score of 94 or higher would meet promotion-to-Professor threshold)
- **Note:** Scores below the **minimum in any category** will disqualify a candidate, even if the total score meets the threshold.

---

### Scoring Guidelines

- **Exceeds Expectations:** Surpasses minimum points in one or more categories while maintaining excellence in all others.

- **Meets Expectations:** Achieves minimum points in all categories with strong evidence of performance.
  - **Below Expectations:** Fails to meet the minimum in one or more categories.

## APPENDIX B

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

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.

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
  - 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 of 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 - no 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 - not an officer or chairperson of a committee - 1 point

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

A. Library Service - 5 points

1. Active participation on library committees and task forces

a. Chairperson - 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 be involved in bibliographic counseling (formal and informal) and aspects of the regular mentoring of students (i.e., through experiential learning germane to library utilizations).

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

## RTP Application Timeline

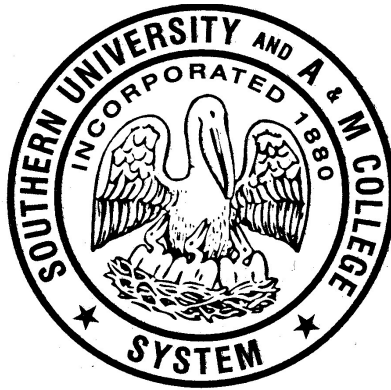
Year	Activity	Date
First Academic Year	Probationary faculty are not required to submit an RTP application during their first academic year of service.	N/A
	The issuance of a written notice of non-renewal of a probationary appointment	March 1
Second Academic Year of Service	Apply for retention (departmental level)	Decided by the Department Chair
	The deadline to submit an appeal of negative recommendations by the Department RTP Committee to the Department Chair	The 10th workday following the receipt of the written notification
	Submission of the evaluations and recommendations of the Department Committee and the Chair/Program Director to the College/School Dean	September 15
	The deadline to submit an appeal of negative recommendations by the Department Chairperson/Director to the College/School RTP Committee via the Dean	The 10th workday following the receipt of the written notification
	The submission of the College/School RTP Committee's evaluations and recommendations to the Dean	October 7
	The deadline to submit an appeal of negative recommendations by the College/School RTP Committee to the Dean	The 10th workday following the receipt of the written notification
	The Dean shall notify applicants and the chief academic officer of the results in writing	November 1
	The deadline to submit an appeal of negative recommendations by the	The 10th workday following the

	College/School Dean to the VC for Academic Affairs	receipt of the written notification
	The chief academic officer's recommendations shall be submitted to the Chancellor of the campus	November 21
	The deadline to submit an appeal of negative recommendations by the VC for Academic Affairs to the Chancellor	The 10th workday following the receipt of the written notification
	The issuance of a written notice of non-renewal of a probationary appointment	December 15
	Appeal to the SUS President and subsequently to the Board of Supervisors.	The 10th workday following the receipt of the written notification
Third to Sixth* Academic Year of Service	Apply for retention (departmental level)	Decided by the Department Chair
	The deadline to submit an appeal of negative recommendations by the Department RTP Committee to the Department Chair	The 10th workday following the receipt of the written notification
	Submission of the evaluations and recommendations of the Department Committee and the Chair/Program Director to the College/School Dean	October 15
	The deadline to submit an appeal of negative recommendations by the Department Chairperson/Director to the College/School RTP Committee via the Dean	The 10th workday following the receipt of the written notification
	The submission of the College/School RTP Committee's evaluations and recommendations to the Dean	November 15
	The deadline to submit an appeal of negative recommendations by the College/School RTP Committee to the Dean	The 10th workday following the receipt of the written notification

	The Dean shall notify applicants and the chief academic officer of the results in writing	December 8
	The deadline to submit an appeal of negative recommendations by the College/School Dean to the VC for Academic Affairs	The 10th workday following the receipt of the written notification
	The chief academic officer's recommendations shall be submitted to the Chancellor of the campus	January 30
	The deadline to submit an appeal of negative recommendations by the VC for Academic Affairs to the Chancellor	The 10th workday following the receipt of the written notification
	The Chancellor makes his/her evaluations and submits his/her recommendations to the SUS President (for tenure and/or promotion applications)	February 25
	Appeal to the SUS President and subsequently to the Board of Supervisors (for tenure and/or promotion applications)	The 10th workday following the receipt of the written notification

\* Evaluation in the sixth year of service determines eligibility for tenure.

**APPENDIX C SU System Intellectual Property Policy**



**Southern University System**

**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 noncommercial 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 reappointed 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 endusers 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 nondisclosure.
- **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 parttime 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 127.)

**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.

**APPENDIX D**

SOUTHERN UNIVERSITY AT NEW ORLEANS  
CAMPUS GRIEVANCE REVIEW PROCEDURES FOR  
UNCLASSIFIED EMPLOYEES

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**SOUTHERN UNIVERSITY AT NEW ORLEANS**  
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**UNCLASSIFIED EMPLOYEES**

**Grievance Policy**

Unclassified employees of Southern University at New Orleans will have the right to file a grievance to seek administrative relief in matters of fairness, equity or other non-meritorious affecting an unclassified employee's employment status. The Southern University Board of Supervisors' Grievance Procedures (effective March 2, 1998) define the categories of grievances which can be filed and appealed through the levels of the System President and Board of Supervisors. All grievances of unclassified employees of Southern University at New Orleans will be handled under the provisions herein stated, subject to the Grievance Policy and Procedures promulgated by the System President and the Board of Supervisors. An unclassified employee's right to administrative review of his/her grievance which is not appealable to the System President and Board will be fully exhausted when the decision of the Chancellor is rendered. All authority to handle grievances which the Board of Supervisors and the System President do not reserve unto themselves will be handled completely under the administrative authority of the New Orleans campus as contained herein. The University encourages all employees to participate in good faith in discussions, mediation efforts and other activities which are designed to bring amicable resolution to matters giving rise to grievances, even after a grievance is filed.

**Grievance Procedures**

**I. Request for Review of Grievance**

The request for a review of the grievance of an unclassified employee of Southern University At New Orleans (the "University") must:

A. be submitted in writing on the approved grievance form (available in the campus Personnel Office) for unclassified employees to the Provost or the appropriate Supervisor or his/her designee (hereinafter, the "**Reviewing Officer**") who manages the grievant's area within thirty (30) calendar days (weekends and legal holidays included, except the Christmas holidays granted to 12 month unclassified employees will not be counted as part of the 30 calendar days.) after the date on which the grievant received written notice of the grievable action. When no written notice was required or otherwise provided, the 30 days will run from the date on which the grievant establish by the documentation presented that (s)he learned or became aware that the grievable action had occurred. However, the grievance must be filed within no more than 120 calendar days from the date that the grievable action occurred, regardless of when the grievant learned of the grievable action or event; and

B. be signed by the grievant; and

C. Provide the full name, title, department, mailing address, telephone number and social security number of the grievant; and

|  
D. Contain a clear and concise statement of:

1. The action or event giving rise to the grievance; and  
2. The basis for the review of the grievance. Where discrimination is alleged, facts regarding the act(s) of discrimination must be particularly and specifically stated in details sufficient to enable the party responding to the charge to prepare a statement in defense or support of the action taken. The types of facts which **must** be included are as follows:

- a) the date(s), the time(s) and the place(s) that the grievable action(s) and/or the event(s) occurred, including a detailing of the circumstances which led the grievant to believe that the adverse decision/action was based on his/her religion, political beliefs, sex, race, national origin, marital status or other non-meritorious factors; and
- b) the name of the person(s) who took the action that led to the filing of the grievance; and/or
- c) how the grievant's actions, conduct or performance was the same as that of a comparable person(s) who was treated differently; and/or
- d) the name(s) and other identifying information about the comparable person(s) who was treated differently and the date(s) that the different treatment occurred; and/or
- e) the specific effect that the action had on the grievant; and/or
- f) a statement of the Board of Supervisors' Bylaw, Regulation, University policy, procedure and/or other rule which was/were violated in sufficient detail to enable the responding party to prepare a response to the allegation(s) in the grievance; and
- g) a statement of the grievant's effort to get the matter resolved before filing the grievance.
- h) **A statement simply alleging that an act of discrimination occurred or that there was the application of a non-meritorious factor which had a discriminatory effect on a grievant is not sufficient to justify a review of a grievance.** The basis for the grievance must be specifically delineated.

E. state the date on which the grievant received written notice of the action on which the complaint is based, if applicable, and attach a copy of the notice; or provide sufficient details to document the date on which the grievant learned of the action giving rise to the complaint; and

F. state the relief sought by the grievant; and

G. provide all documentation available to the grievant to support his/her allegations, including the names, addresses and other identifying information for any and all comparable parties and/or witnesses to the act or event giving rise to the grievance.

## **II. HANDLING OF GRIEVANCE**

A. Within five (5) work days of receiving the grievance, the Reviewing Officer or his/her designee will acknowledge receipt of the grievance; review the grievance to determine if this procedure is the appropriate one under which the grievance should be filed; provide a copy of the grievance to the appropriate responding party (parties) with a request for a written response within five (5) work days from the date of the transmission; and give notice to the grievant and all appropriate parties (responding party, supervisors, etc.) of

the date, time and place for meetings to discuss possible resolution(s) of the grievance. Although every effort will be made to set times that are satisfactory to the parties, the decision in this regard will rest with the Reviewing Officer or his/her designee. If the action complained of is not grievable, the grievant will be so notified by the Reviewing Officer and provided with an explanation as to why the grievance is being dismissed.

B. The meeting of the parties with the Reviewing Officer or his/her designee will take place within five (5) work days after the receipt of the response from the responding party.

**Every effort should be made to resolve the grievance at this level.** A record of the discussion(s) will be maintained as part of the official file.

### C. Results of discussions:

1. **If there is an amicable resolution**, the Reviewing Officer or his/her designee will provide written notice of the terms of the settlement resolution to each of the parties for their signatures as an indication that the terms are acceptable within no more than five (5) work days of reaching the settlement. The Reviewing Officer and each of the parties will receive a signed original of the settlement agreement.

2. **If no amicable resolution is reached** through the discussions between the parties, after considering the submissions of the parties and the content of the discussions between the parties, the Reviewing Officer or his/her designee will issue a decision which (s)he feels will resolve the grievance; provide written notice of the decision to the parties within five (5) work days following the end of the discussions; and give notice to the grievant of his/her right to submit a written request for his/her grievance to be submitted to the Chancellor or his designee for transmittal to an Unclassified Employees' Grievance Panel. Upon receipt of the request for a hearing, the Reviewing Officer will transmit the grievance, the response(s) to it, and the Reviewing Officer's decision to the **Unclassified Employees Grievance Panel** for review and, if applicable, to conduct a hearing for the grievant.

3. The Grievance Panel will meet within five (5) work days of receiving the grievance from the Chancellor or his designee and will give notice to the grievant and the responding party of the schedule by which it will proceed to hear the grievance; notify the parties of any information which the panel needs from the parties to complete its business; set deadlines for the receipt of information/documents and witness lists; and set the tentative date for the grievant's hearing. The Grievance Panel will conduct the hearing within the time frame indicated in the notice to the parties. A record of the hearing proceedings will be kept.

### III. Hearing Guidelines

The following guidelines and procedures will be applicable:

The Chancellor shall appoint Unclassified Employees' Grievance Panels as the need arise or a standing Grievance Panel. The panel shall be composed of faculty members and other unclassified staff members. The panel should have no less than five members and no more than nine members, from among whom a chairperson will be selected to conduct the proceedings which are submitted to the body on a case by case basis.

A. The Chairperson will convene the Panel to hear the grievance.

B. The hearing is not intended as a trial before a court of law and, therefore, adherence to the strict rules of evidence is not required. The Panel is intended to be a fact-finding body. Questions relating to the competency, relevancy or materiality of testimony and evidence, and latitude in conducting questioning will be based upon the Panel's determination as to what is just, fair and reasonable under the circumstances.

C. At the outset of the hearing, the Chairperson will announce that the Panel is convened for the purpose of hearing the grievance of (Grievant's Name), a (Title) at (Campus) which was filed with the Grievance Panel on (Date).

D. The Chairperson will ask both the Grievant and the Responding Party to state a preference of a forum, i.e., public or close session; however, the final decision will rest with the Panel. (If a closed session is chosen, all nonessential persons will be asked to leave the hearing room.)

E. The Chairperson will call the Panel to order.

F. The Chairperson will give an opening statement which details the procedures to be followed, the purpose of proceeding, notice of the Panel's reservation of its right to limit evidence and statements deemed irrelevant or unrelated to issues at hand and to hear or not to hear witnesses offered by the parties.

#### **IV. Hearing Procedures**

A. The Reviewing Office will provide a detailed statement of the actions taken on the grievance.

B. Grievant makes the opening statement detailing his/her grievance and the remedy he/she seeks.

C. The Responding Party will make an opening statement to detail his/her position relative to the grievance.

D. Grievant will present in full his/her grievance and may offer documentary support of his/her position and call the approved witnesses from his/her witness list for the Panel to hear, if it desires to hear them.

E. The Responding Party may fully respond to grievant's statement and/or offer rebuttal evidence, witnesses, etc. If Panel desires to hear witnesses, they will be called as Panel indicates they are needed, however, the witnesses will remain outside of the hearing room unless otherwise instructed by the Panel Chairperson to do otherwise.

F. The Panel may:

1. Ask questions of all parties and their witnesses;
2. Call witnesses which it considers pertinent to reaching a fair and just conclusion;
3. Allow closing statements from Grievant and Responding Party(ies);
4. Dismiss Grievant and others not pertinent to its deliberations while the Panel discusses

the grievance, the evidence, testimony and the proceedings.

G. At the conclusion of the hearing the Panel may deliberate in a closed session to reach its decision and to fashion a recommendation to the Chancellor.

H. The Panel will reconvene and announce the action that it will take regarding the grievance, which may include, but is not limited to:

1. Taking the matter under advisement if no decision can be reached at that time. However, the Panel will notify the parties of the date by which a decision will be rendered, which will be no more than seven (7) calendar days following the conclusion of the hearing, unless an extension is approved by the Chancellor.
2. Rendering a decision in favor of the Grievant based upon the facts, evidence, testimony and recommending to the Chancellor that the relief sought be granted.
3. Finding that the grievance has no basis in fact that is supported by the evidence, testimony and record presented and recommending to the Chancellor that the relief sought be denied and the action of the Responding Party, if applicable, be upheld.
4. Recommending to the Chancellor that settlement discussions be initiated and that the matter be remanded for further discussion, based on the parties indicated willingness to enter into and be governed by a written settlement agreement. If the settlement option is accepted by the grievant and the responding party, then the grievance review process will end and the parties will abide by the terms of the settlement document.

I. Within three (3) work days following the conclusion of the hearing or the Panel's deliberations, the Chairperson of the Grievance Panel will provide written notice to the Chancellor, the Reviewing Officer, the Grievant and the Responding Party of its decision and the recommendation which the Panel will submit to the Chancellor. The party against whom an unfavorable decision and recommendation are rendered (Grievant or Responding Party) will also be notified of their right to appeal the decision to the Chancellor. The hearing record, which will include all documents, testimony, recordings, transcripts, written statements, etc., will be preserved and forwarded to the Chancellor and a copy to the Reviewing Officer, along with a copy of the Grievance Panel's decision and recommendation.

J. The hearing will be recorded by an acceptable method and the recording retained by the Chancellor's Office for at least one year following the conclusion of the proceedings. The Grievant and the Responding Party(ies) may obtain a copy of the tape recording at his/her expense by requesting it in writing from the Chairperson of the Grievance Panel.

## **V. RIGHT TO APPEAL**

A. If the decision of the Grievance Panel or at any level below is unfavorable to the grievant or the responding party, it may be appealed to the next level within five (5) work days of the receipt of the unfavorable decision whether by mail or hand delivery, if:

1. New evidence or information has surfaced which was not known and not available to the appealing party prior to the conclusion of the hearing before the Grievance Panel; and/or
2. The hearing record reflects that the appealing party was denied due process or a

right(s) to which (s)he was entitled; and/or

3. Errors by the Grievance Panel as reflected in the hearing record caused an inappropriate decision to be rendered that is not supported by the facts, evidence, etc. presented at the hearing.

B. The unfavorable decision of the Grievance Panel may be appealed to the campus Chancellor.

C. The unfavorable decision of the campus Chancellor may be appealed to the System President, if applicable.

D. The unfavorable decision of the System President may be appealed to the Board of Supervisors through its Chairperson, if applicable, however, the appealing party must document that efforts have been made to exhaust all administrative review rights at the campus and system levels before appealing to the Board of Supervisors.

E. The ground(s) on which the appeal is based must be specifically stated and supported by the hearing or supplemented record, if applicable.

## **VI. APPEAL PROCEDURES**

A. The appeal must:

1. Be submitted in writing to the Chancellor within five (5) work days of his/her receipt of the decision that is being appealed. The grievant must also send notification of his/her appeal to the Chairperson of Grievance Panel with a request for the official hearing record to be forwarded to the Chancellor.

2. State with specificity the basis for the appeal and provide details from the hearing record, proof of facts and/or other information which support the appealing party's right to be granted a review of his/her appeal as applicable in Part V.A. above.

3. The following delays will be observed in responding to the appeal:

a. The Chancellor will respond to the appeal within ten (10) work days of receiving the hearing record.

b. If the appealing party desires to appeal to the System President, the appeal must be filed in writing within seven (7) calendar days from his/her receipt of the Chancellor's decision.

c. Appeals to the System President will be in accordance with the policy and procedures set forth by the President.

d. Appeals to the Board of Supervisors will be governed by the Board's Grievance Policy and Procedures.

## **VII. Other Matters**

A. **Representation:** At all levels of review, parties to the grievance may be accompanied by a representative who may be an attorney. The participation of the representative will be limited to advising the party, unless a greater participation role is granted by the presiding official.

B. **Confidentiality:** Reasonable efforts will be made to insure the confidentiality of all closed proceedings, hearings and the records produced therefrom. However, should any matter arising during the course of the proceeding become public, the right to issue appropriate statements

relative to the matter will fall to the Chancellor, who will consult with the System President.

**C. Communications to Grievance Panel:** Communications directed to individual members of the Grievance Panel that pertain to a grievance or a potential grievance will not be acknowledged except through the use of this procedure, subject to the Grievance Policy and Procedures of the Southern University Board of Supervisors and the Office of the System President.

**D. Inclusive Provisions:** The Grievance Policy and Procedures of the Southern University Board of Supervisors are made a part of this policy and procedure as if fully stated herein. If any provision of this policy and procedure is in opposition to the grievance provisions of the Board, the Board's provisions will take precedence.

## **APPENDIX E**

The Constitution and Bylaws of the Faculty Government of  
Southern University at New Orleans

THE CONSTITUTION AND BYLAWS OF THE FACULTY GOVERNMENT  
OF SOUTHERN UNIVERSITY AT NEW ORLEANS

ARTICLE I. PURPOSE

The purpose of this Constitution is to set forth the means by which the faculty of Southern University at New Orleans shall carry out its institutional role as provided for in the Bylaws and Regulations of the Board of Supervisors of Southern University and Agricultural and Mechanical College. Part II, Article VIII, and Part III, Section 1-2.4. A & B which states that the "faculty shall have a major role in establishing curricula, fixing standards of instruction, determining requirements for degrees, and generally formulating educational policy." To this end, this Constitution establishes the faculty government, along with the rules and structures according to which it shall function.

ARTICLE II. GENERAL ORGANIZATION

The organization for faculty government shall consist of two components: (1) the General Assembly, and (2) the Faculty Senate and the Standing Committees.

ARTICLE III. THE GENERAL ASSEMBLY

**Section I. Membership.** The General Assembly shall consist of all those who hold academic rank at Southern University at New Orleans. As stated in the Bylaws and Regulations of the Board of Supervisors of Southern University and A & m College, both the System President and the Chancellor of Southern University at New Orleans are members of the faculty.

All voting members of the General Assembly shall be eligible for election to Standing Committees and appointment to Special Committees, subject to the qualifications stipulated in the Constitution or the Bylaws of Faculty Government.

**Section 2. Officers.** Though the System President has the privilege of presiding at meetings of the General Assembly, the Chancellor shall normally serve as the presiding officer. The Chancellor may, however, delegate this responsibility to the President of the Faculty Senate. The Secretary of the Faculty Senate shall serve as Secretary of the General Assembly.

**Section 3. Meetings.** The General Assembly shall regularly meet four times a year, customarily at the beginning and end of each semester. Special meetings may be called by the President of the Southern System, by the Chancellor, by the Faculty Senate, or by the Secretary of the Faculty Senate on petition of one-fourth of the members of the General Assembly. The presence of one-fourth of the members shall constitute a quorum.

The business of meetings of the General Assembly shall typically be reports to the faculty by the Chancellor of the University, the President of the System, and the President of the Faculty senate who will review action taken by the Faculty Senate and call for important committee reports.

Each member of the General Assembly shall have one vote. A vote by voice will be the regular method of voting on any motion that does not require more than a majority for its adoption. When

conditions warrant, the Chair may call for a count of hands. Upon the request of a majority of those present, a secret ballot will be in order.

Vote by proxy is allowed, but proxies must be signed and submitted to the Secretary prior to the meeting's being called to order. Proxies do not count toward a quorum. Robert's Rules of Order will govern the conduct of the meetings of the General Assembly.

**Section 4. Jurisdiction, Authority, and Duties.** The General Assembly is properly concerned with and should actively participate in decision made on matters that may affect the educational policies for which it is primarily responsible. Therefore, under the jurisdiction of the General Assembly fall such matters as:

1. The curriculum of the University.
2. The facilitation of teaching and research.
3. The structure of the University with reference to academic matters.
4. Standards for admission and retention of students.
5. Requirements for the granting of academic degrees.
6. Faculty conduct and discipline.
7. Faculty appointment, retention, tenure, and promotion.
8. Freedom of expression and academic freedom.
9. Aspects of student life which relate directly to the educational process.
10. campus facilities directly involving faculty, such as offices, classrooms, and laboratories.

The General Assembly is properly concerned with and should actively participate in decisions made on other matters that may affect the educational policies for which it is primarily responsible but that require joint consideration by other sectors of the University. Therefore, the General Assembly shall advise the Administration and the Board of Supervisors through the Administration on matters of institutional policy dealing with:

1. Selection of and removal of the principal administrative officers having University-wide responsibilities as well as the creation and abolition of such offices.
2. University budgets.
3. Faculty benefits, including salaries, insurance, and leaves.
4. Long-range planning of campus development and facilities.
5. The academic calendar.

To perform this advisory function, it is necessary that the Faculty Senate be consulted in advance of significant prospective actions by the Administration and the Board of Supervisors.

In addition to the above, the General Assembly may advise the Administration on matters of institutional policy dealing with student conduct and discipline not directly related to academics.

**Section 5. Faculty Veto.** The General Assembly shall have the power to veto any action of the Faculty Senate. The procedure shall be as follows:

1. A General Assembly meeting shall be called by petition as provided in Article III, Section 3, for the purpose of discussing the Faculty Senate action in question.

2. The voting procedure outlined in Article III, Section 3, shall be followed to determine the will of the General Assembly. A two-thirds vote of those present shall be required to override a Faculty Senate action.

## **ARTICLE IV. THE FACULTY SENATE**

### **Section 1. Membership.**

**Faculty Representation.** Members of the Faculty Senate shall be elected from full-time faculty with at least one year of academic service to the University, with the exception of two Senate positions reserved for the part-time faculty. Full-time faculty shall be defined as those persons who have 50% or more of their time allotted to teaching but shall include those faculty members who have release time to do research or to work on various academic projects. The membership shall be apportioned as follows:

1. College Representatives. Each of the academic colleges shall elect one senator for every seven full-time members. Where fractions are involved, the nearest whole number will be used. Each of the colleges shall be assured one senator. These senators shall be elected by a majority vote of the members of the college.
2. Librarians. Representation for librarians with faculty status and full time employment will be determined in the same manner as in Article IV Section 1, Item 1.
3. Counselors. Representation for counselors with faculty status and full time employment will be determined in the same manner as in Article IV, Section 1, Item 1.
4. At-Large Members. Five representatives shall be elected from the faculty at large with no more than two from any one college. These members-at-large will be responsible for representing the general interest of the entire faculty and not the special interests of their college.
5. Former President of the Faculty Senate. The President of the Faculty Senate shall remain a senator during the year following the expiration of his or her term.
6. Part-time Faculty. Part-time Faculty shall elect two senators.

**Student Representation.** Two students shall hold speaking seats in the Faculty Senate. They shall be the President of the Student Government Association and one student elected by the SGA Senate.

**Administrative Representation.** The Chancellor, the Vice Chancellor for Academic Affairs, and one other representative appointed by the Chancellor shall hold speaking seats in the Faculty Senate. This includes those who have faculty status but whose contractual obligations are primarily administrative.

**Term of Office.** The term of office of elected senators shall be two years. Of the initial group elected, one-half shall serve one year and one half shall serve two years. This distinction shall be

made by lot, and in such manner that approximately half of the senators from each college shall serve for one year and half for two years. No elected faculty members may serve more than two two-year terms consecutively. The administrative appointees shall serve one-year terms but may be reappointed without limitation. The elected student representatives shall serve one-year terms, but may be re-elected once.

**Replacement of Vacancies.** If the position of a college senator should become vacant for whatever reason, the college head shall be notified of a college vacancy and shall hold an election for a replacement. If the position of a member-at-large should become vacant for any reason, the Executive Committee shall act as a nominating committee and submit to the Senate at its next meeting the names of two eligible faculty members at which time the Senate will elect a replacement.

**Recall.** Senators and elected members of Standing Committees shall be subject to recall. Recall procedures can be initiated by a written petition of one-fourth of the voting members of the General Assembly to the Executive Committee of the Faculty Senate. Recall requires a two-thirds majority in a mail ballot which includes returns from at least two-thirds of the voting members of the General Assembly. In case of a recall, ordinary procedures shall be used to fill the vacancy for the unexpired term as soon as feasible.

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

**Officers.** The Faculty Senate shall have the following officers: President, Vice-President, Secretary, and Treasurer.

**The Executive Committee:** Membership. The elected officers, with the former President of the Faculty Senate, and two members elected from the body at large, shall comprise the Executive Committee. The at-large representatives shall generally be selected from those senators in colleges not represented by the elected officers.

**Election of Officers,** Election of officers for the ensuing year shall be the first item of business at the initial meeting of the Faculty Senate in each academic year. A nominating committee of three shall be chaired if possible by the most recent willing and able former President of the Senate. The remaining members shall be elected by the General Assembly at its final meeting in the academic year. A slate of candidates for the nominating committee shall consist of names of faculty who are interested in serving and who have submitted their names to the President in the two-week period prior to the General Assembly meeting. No additional nominations will be taken from the floor. Anyone serving on the nominating committee shall not be eligible to serve as an officer in the following year. The election shall be by secret ballot.

**Term of Office.** The term of office for all officers shall be one calendar year. Each officer shall be eligible for election to a second consecutive term only. If, for any reason, the President should not be able to serve his or her entire term in office, the Vice President shall become President for the unexpired term. Upon such succession, at its next meeting the Senate shall elect a Vice President who shall serve for the remainder of the unexpired term. Likewise, should any other officer be unable to complete his or her term in office, an election to fill that office should be held at the next meeting of the Faculty Senate. No person may simultaneously hold more than one of the offices in the Senate.

### **Section 3. Meetings.**

**Regular Meetings.** Regular meetings of the Faculty Senate shall be held one per month during the academic year. The dates for these meetings shall be established at a time likely to be convenient for the membership, and a calendar for the year's meeting shall be disseminated to all faculty early in the academic year and made available to the student body.

**Special Meetings.** Special meetings of the Faculty Senate can be called when requested by 25% of the Senate, or by 10% of the General Assembly, or by 10% of the student body, or by the Chancellor, or by the Executive Committee, or by the President of the Faculty Senate.

**Attendance of Members.** Any member who fails to attend three consecutive regular meetings shall relinquish his or her position on the Senate. The procedure for replacement of vacant positions is outlined in Article IV, Section 3.

**Non-members' Presence at Meetings.** All meetings shall be open to faculty, staff, and students of Southern University at New Orleans. Guests at the Senate meetings shall be seated separately from the Senate members while the business of the Senate is being conducted, and these guests shall be listeners only except when invited by the presiding officer to participate.

**Executive Session.** An executive session may be called through a proper motion, seconded and duly voted upon by a majority. All decisions made in executive session shall be ratified in an open meeting.

**Conduct of Meetings.** All meetings shall be conducted in accordance with parliamentary procedure. Robert's Rules of Order shall be the final authority except where it may contradict any provision of this Constitution. The Senate shall adopt by two-thirds vote such by-laws as may be necessary and proper to govern senate procedure and expedite the business of the Faculty Senate.

**Parliamentarian.** After his or her election the President shall appoint a Parliamentarian to oversee the conduct of business at Senate meetings. This person shall also serve as Parliamentarian at meetings of the General Assembly.

**Minutes.** Detailed minutes of the proceedings and content of the debates shall be distributed by the Secretary's clerical assistant to all faculty and made available to the student body.

**Administrative Approval of Faculty Senate Action.** All action of the Faculty Senate, as reported in the minutes or a report, shall be submitted to the Chancellor of the University. Should the Chancellor disapprove any action, appointment, or decision, the minutes or report shall be returned to the Faculty Senate, with the exception noted in writing. If the Senate concurs with the exceptions of the Chancellor, the action, appointment, or decision shall stand as altered by the Chancellor. If the Senate does not concur with the exception of the Chancellor, then the report or minutes may be resubmitted to the Chancellor with the reasons for nonconcurrency given in writing. If that action, appointment, or decision is again rejected by the Chancellor, it would then be sent to the Chancellor for transmittal to the President of the University System and subsequently to the Board of Supervisors for its determination in the matter, as provided for in the Bylaws and Regulations of the Board of Supervisors of Southern University and Agricultural and Mechanical College.

## **Section 4. Jurisdiction, Authority, and duties**

**General Functions of the Faculty Senate.** The legislative authority of the General Assembly shall normally be exercised by the Faculty Senate.

**General Functions of the Executive Committee.** The main responsibilities of the Executive Committee shall be to assist the Senate in the discharge of its legislative duties and to provide an effective channel of communication and consultation between the Chancellor and the faculty and students with respect to their joint and several responsibilities in the government of the University. In addition, the Executive Committee shall be empowered to make decisions for the Senate at such times when it is impossible to gather a quorum; or when the University is faced with an emergency which needs committee or Senate action; or when it is impossible for the Senate to meet. Decisions made by the Executive Committee shall be ratified by the Faculty Senate at its next meeting. The Executive committee shall also function as the committee on committees. In this capacity it shall be responsible for the following:

- 1.) recommending appropriate persons for all committee appointments to be made by the Senate,
- 2.) recommending the formation and abolition of committees.
- 3.) making a continuous study of committee assignments to assure equitable distribution among academic units and academic ranks,
- 4.) ensuring that the work of the committees is being handled effectively by creating and maintaining a calendar for the timely dispensation of committee duties,
- 5.) replacing committee members who are not carrying out their committee duties,
- 6.) in general performing any action necessary to ensure the timely dispensation of committee duties so that the normal functioning of the University shall not be impeded, and
- 7.) in the event of an emergency working with the Office of Academic Affairs to take appropriate action.

**Duties of the President of the Faculty Senate.** The President shall preside at all meetings of the Senate and of the General Assembly when requested to do so by the Chancellor. He or she is empowered to call special meetings as provided for in this Constitution. The President is an ex-officio member of all Faculty Senate Committees. He or she shall chair the Executive Committee.

**Duties of the Vice President of the Faculty Senate.** The Vice President shall perform all of the duties of the President when he or she is absent or incapable of doing so. The Vice President shall succeed to the office of President should that office become vacant. The President may designate to the Vice President his or her seat on any of the Senate committees. The Vice President serves on the Executive Committee.

**Duties of the Secretary of the Faculty Senate.** The Secretary shall see that accurate minutes of all regular and special meetings of the Faculty Senate and the General Assembly are recorded and distributed to the faculty and students. The Secretary conducts necessary correspondence, keeps an accurate list of membership of the Faculty Senate, keeps an accurate record of attendance, informs the President when a seat becomes vacant, and performs such other appropriate duties as directed by the Senate. The Secretary is a member of the Executive Committee.

**Duties of the Treasurer of the Faculty Senate.** The Treasurer shall manage the fiscal affairs of the Faculty Senate and serve on the Executive Committee.

## **ARTICLE V. STANDING COMMITTEES**

The Standing committees of the Faculty Senate shall be the primary vehicles by which the Faculty Senate shall carry out its role as the main legislative authority of the General Assembly.

### **Section 1. Duties and Members of the Standing Committees.**

#### **1. Admissions and Retention committee.**

**Duties.** In conjunction with the appropriate departments and colleges and the Office of Academic Affairs, this committee shall recommend policies and procedures for setting and maintaining academic standards for the admission and retention of students and for the awarding of earned degrees and certificates, honorary degrees, and academic honors.

**Members.** This committee shall have the following members: one faculty member from each College, with the exception of the College of Arts and Social Sciences, which shall have two faculty members, three faculty members at large, and one student; ex-officio (voting) one academic dean to be selected by the Council of Deans and the Vice Chancellor or Associate Vice Chancellor for Academic Affairs; ex-officio (non-voting) Vice Chancellor for Student Affairs and Director of High School Relations.

#### **2. Academic Responsibility, Rights, and Ethics Committee.**

**Duties.** This committee shall oversee faculty conduct, academic freedom, and faculty grievances. Therefore, it shall be expected to do the following: (1) develop policies 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.

**Members.** One faculty member from each College, with the exception of the College of Arts and Social Sciences, which shall have two faculty members, and two members at large. Note: Only members of the General Assembly with tenure are eligible to serve in this committee.

#### **3. Budget Review Committee.**

**Duties.** This committee shall review the annual budget of the University to assure its general conformity with short and long range priorities of the University and with expressions of policy by the Senate. The chairperson of the committee, or his or her designee, shall sit with the appropriate committee of the University when it formulates budget guidelines for the coming year and when categories of the budget are discussed and adopted. The main function of the committee shall be to bring to the Senate's attention any budgetary allocations which are not in compliance with existing budget priorities and policies. It shall

also inform the Senate of budgetary actions taken or proposed which are not in the best interest of the University.

**Members.** Six faculty senators and one student representative.

#### 4. **Catalog and Calendar Committee**

**Duties.** This committee shall recommend policies and procedures for the publication of the University Catalog and the development of the Calendar.

**Members.** One faculty member from each college, three faculty members at large, and one student; ex-officio (non-voting) one academic dean to be selected by the Council of Deans, the Registrar, and the Vice Chancellor or Associate Vice Chancellor for Academic Affairs; ex officio (non-voting) the Vice Chancellor for Student Affairs.

#### 5. **The Curriculum Committee.**

**Duties.** This committee shall recommend policies and procedures related to all aspects of curricular design and implementation. Though it will be especially concerned with reviewing curricular changes proposed by the University departments for uniformity with established policies and procedures, it can also systematically review existing programs and make recommendations for changes it deems necessary to create uniformity and articulation among departments and coherence in the curriculum.

**Members.** One faculty member from each College, with the exception of the College of Arts and Social Sciences, which shall have two faculty members, three faculty members at large, and one student; ex-officio (voting) the Vice Chancellor or Associate Vice Chancellor for Academic Affairs and one academic dean to be selected by the Council of Deans; ex-officio (non-voting) the Vice Chancellor for Student Affairs.

#### 6. **Faculty Status Committee.**

**Duties.** This committee shall develop policies and procedures regarding the departmental recommendations for appointment, retention, merit pay, tenure, and promotion of faculty and shall act as the body that considers faculty applications in these areas and makes appropriate recommendations to the Chancellor. This committee also shall formulate policies and make recommendations to the Chancellor in matters pertaining to leaves of absence and earned sabbaticals.

**Members.** One faculty member from each College, with the exception of the College of Arts and Social Sciences, which shall have two faculty members, and three faculty members at large; ex officio (non-voting) the Chancellor and the Vice Chancellor for Academic Affairs.

#### 7. **Faculty Welfare Committee.**

**Duties.** This committee shall I develop and recommend action to be taken with regard to overall faculty well being in matters such as fringe benefits, working environment, safety, and condition of facilities.

**Members.** One faculty member from each College, with the exception of the College of Arts and Social Sciences, which shall have two faculty members, and two faculty members at large; ex officio (non-voting) Director of University Personnel and the Vice Chancellor or Associate Vice Chancellor for Academic Affairs.

#### 8. **Organized Research Committee.**

**Duties.** This committee shall set broad policies for governing all research conducted at SUNO. For university funded projects this committee shall request and receive research proposals from faculty and make appropriate recommendations regarding their suitability for funding. However, this committee is not intended to interfere with the normal activity of faculty as they pursue legitimate outside funding for their research and creative activities. In addition, this committee shall monitor any research involving animals to ensure that federal guidelines regulating such research are upheld.

**Members.** One faculty member from each undergraduate college, one representative of the faculty at large, one representative from the graduate faculty, one undergraduate student.

#### 9. **Publications Board.**

**Duties.** This committee shall develop policies and operating procedures for all student publications and serve as an enforcement agency for the carrying out of those guidelines in accordance with the appropriate regulations of the Southern University Board of Supervisors.

**Members.** One faculty member from each College, with the exception of the College of Arts and Social Sciences, which shall have two faculty members, two members from the Print Journalism Program, and one student; ex-officio (voting) Vice Chancellor for Student Affairs, Editor of the Yearbook, Editor of the Observer; ex-officio (non-voting) Vice Chancellor of Administration and Vice Chancellor or Associate Vice Chancellor for Academic Affairs.

#### 10. **Student Conduct.**

**Duties.** This committee shall (1) recommend changes in student disciplinary policies to the Vice Chancellor for Student Affairs; (2) recommend to the Chancellor a list of persons who will be available to serve as disciplinary hearing panel members; and (3) act, at the request of the Chancellor, as an appeal panel for appeal of disciplinary actions.

**Members.** One faculty member from each College, with the exception of the College of Arts and Social Sciences, which shall have two faculty members, one faculty member at large; and two students; ex-officio (voting) the Vice Chancellor for Student Affairs.

#### 11. **Student Organizations and Activities Committee.**

**Duties.** This committee shall advise the Vice Chancellor for Student Affairs on policies regarding student organizations, student government, student health and recreation facilities, and student social activities. It also shall appoint faculty representatives to the Lyceum Committee and review applications for all student organizations that seek University recognition.

**Members.** One faculty member from each College, with the exception of the College of Arts and Social Sciences, which shall have two faculty members, one faculty member at large, and three students; ex-officio (voting) one representative from the Vice Chancellor for Student Affairs.

#### 12. **Teaching Effectiveness and Growth Committee.**

**Duties.** This committee shall advise the Vice Chancellor for Academic Affairs in all areas of teacher growth. This committee shall be particularly concerned with (1) methods of improving teaching effectiveness, (2) yearly evaluation of faculty, and (3) the allocation of funds for faculty growth.

**Members.** One faculty member from each College, with the exception of the College of Arts and Social Sciences, which shall have two faculty members, and three at large members.

#### 13. **University Center and Bookstore Committee.**

**Duties.** This committee shall examine all financial affairs of the Bookstore and the University Center and advise the Vice Chancellor for Administration on the development of policies regarding these University entities.

**Members.** One faculty member from each College, with the exception of the College of Arts and Social Sciences, which shall have two faculty members, one faculty member at large, and three students; ex-officio (nonvoting) the Vice Chancellor for Student Affairs, the Vice Chancellor for Administration, the Bookstore Director, and the University Center Director.

#### **Section 2. General Rules Governing Standing Committees.**

**Membership.** Voting members of the General Assembly shall be eligible to occupy positions on the standing committees. A standing member shall serve a two-year term with the possibility of a single re-appointment. Initially, one-half of the members elected shall serve two years and one-half shall serve three years so as to assure the continuous presence of experienced members on each committee.

**Meetings.** A quorum for the meeting of any standing committee shall be a majority of the committee's voting members.

The secretary of each committee shall submit minutes to the Executive Committee within seven days after each meeting and shall be responsible for filing reports when necessary as well as an annual report each year.

Each committee shall elect its own chairperson, vice-chairperson, and secretary each year.

**Selection Procedures.** The Executive Committee shall announce in writing to the General Assembly any standing committee vacancies well in advance of the October meeting so as to permit faculty interested in serving on specific committees to so inform the Executive Committee. After receiving the responses from the general faculty, the Executive Committee shall compile a slate for each committee for consideration by the Faculty Senate. Standing committee members shall then be elected at the October meeting of the Faculty Senate by paper ballot with additional nominations allowed from the floor.

Administrative members of the committees shall be appointed by the Chancellor or his or her designee. Student members shall be appointed by the Student Government Association. These appointees shall then be certified by the Vice Chancellor of Student Affairs in order to serve.

## **ARTICLE VI. SPECIAL COMMITTEES**

The Faculty Senate may for special purposes and for determinate periods create special Committees to investigate and make recommendations on any matter falling under the primary or advisory authority of the University Faculty.

The faculty Senate or the Executive Committee of the Faculty Senate may respectively appoint or discharge members of such Special Committees.

## **ARTICLE VII. AMENDMENTS TO THE CONSTITUTION AND ADOPTION OF BYLAWS**

**Section 1.** This Constitution may be amended through a proposal in the Faculty Senate, and, upon approval by a two-thirds vote of the members present, the proposal shall be distributed, within fourteen days, to the voting members of the General Assembly. The amendments so adopted must be submitted to the Chancellor for appropriate review and approval and become effective immediately upon such approval. Should such approval not be granted, the procedure for resolving administrative disapproval outlined in Article JV, Section 3, shall be followed.

**Section 2.** The Faculty Senate shall establish whatever bylaws are necessary. The initial adoption of bylaws, as well as amendments or deletions of existing bylaws, shall require a vote of two thirds of those elected senators present and voting at a regular or special meeting at which a quorum is present. Previous notice must be given at the preceding meeting of the Faculty Senate of the intended change of the Faculty Senate bylaws.

## **ARTICLE VIII. RATIFICATION**

This Constitution is ratified when accepted by a majority vote of the entire Faculty. The Constitution shall then be submitted to the Chancellor for appropriate review and approval. When approved by the Chancellor, the document shall be forwarded to the President of the Southern University System for appropriate review and approval with the request that the President then forward the document to the Southern University Board for its review and approval. Should administrative approval not be granted at any level, the procedure outlined in Article IV, Section 3, shall be followed.

## **DOCUMENTS CONSULTED**

The Constitution and By-Laws of the Faculty Council of Southern University as New Orleans.

The Constitution and By-Laws of the Faculty Government of the University of Texas at El Paso.

The Constitution of the Faculty of Indiana State University

The constitution and By-Laws of the Faculty of the Liberal Arts and Sciences of Tulane University.

The Constitution of the Faculty Senate, East Carolina University.

The Constitution of Montana State University for Faculty Council.

The Loyola University Senate Constitution.

Mason, Henry. College and University Government: A Handbook of Principle and Practice. Tulane Studies in Political Science, Volume XIV. Tulane University, New Orleans, Louisiana, 1972.

Organization of the Southern University Faculty Senate.

SUNO Faculty Handbook (Spring 1980).

UNO Faculty Handbook.

**Amendments to the Constitution  
of the Faculty Government  
of Southern University at New Orleans**

**Article IV. The Faculty Senate**

**Section 1. Membership.**

Substitute "colleges" for "divisions" and "college" for "division" or "divisional" throughout.

**Section 2. Officers and Election of Officers.**

Substitute "colleges" for "divisions" throughout.

Term of Office. Omit "and then shall continue serving his or her own term as President." The following sentence shall read, "Upon such succession, at its next meeting the Senate shall elect a Vice President who shall serve for the remainder of the unexpired term."

**Article V. Standing Committees**

Substitute "colleges" for "academic divisions" and "college" for "academic division" throughout.

Wherever the membership of a committee is specified to be "one faculty member from each academic division, the Constitution shall now specify "one faculty member from each College, with the exception of the College of Arts and Social Sciences, which shall have two faculty members." *[Note: this provision merely provides the same representation to this college which the former divisions had prior to academic reorganization.]*

Wherever "all academic deans" are specified as members on a committee, the Constitution shall now specify "one academic dean to be selected by the Council of Deans."

Wherever "the Associate Vice Chancellor for Academic Affairs" is specified as a member of a Standing Committee, the Constitution shall now specify "the Vice Chancellor or the Associate Vice Chancellor for Academic Affairs."

**6. Faculty Status Committee.**

**Members.** Change the ex-officio members to non-voting.

*\* NOTE: Almost all of these amendments were necessitated by the academic reorganization. All but two are adjusting the Constitution to reflect this new structure.*

Bylaws  
of the Faculty Government  
of Southern University at New Orleans  
As Amended

**Chapter 1. Meetings**

Quorum. The quorum for Faculty Senate meetings and for Standing committee meetings shall be 50% of the eligible voting membership.

Voting Rules. Voting rules for Senate and Standing Committee meetings shall be the same as those detailed for General Assembly meetings in Article III, Section 3 of the Constitution of the Faculty Government of Southern University.

**Chapter 2. Election Procedures**

Section 1. Election of Senate Representatives for Specific Constituencies

- a. Senators representing the various colleges and those representing librarians and counselors with academic rank are to be elected in a meeting of their respective units during the month of April each year, with the exception of the two senators representing part-time faculty who shall be elected at the regular orientation session for part-time faculty held at the beginning of the fall semester.
- b. The dean of each college, or the head of units representing the librarians and counselors, must notify all eligible persons of the meeting and its purpose fourteen days prior to the meeting. These deans or heads will be notified in early March of Senate positions to be filled in these elections.
- c. Nominations will be taken from the floor during these meeting and will be closed only when there are no further nominations. In addition, any eligible faculty member will be allowed to nominate himself or herself. Those persons who are unable to attend the meeting are allowed to nominate themselves by written notification to the dean or head of their unit at least twenty-four hours prior to the meeting.
- d. Voting will be by secret ballot. (Ballots will be supplied by the Executive Committee of the Senate.)
- e. If there are only as many nominations as there are vacancies, the persons will be considered to be elected by acclamation. Otherwise, to be elected, a person considered for a particular vacancy must receive a majority of the votes of those eligible faculty who are present at the meeting.
- f. Fifty percent of the full-time faculty (as defined in the Constitution) in the particular college or unit will constitute a quorum for this election meeting.

g. Ballots should be counted immediately following the voting, and in such a manner that all persons being voted upon, or their representatives, can witness the process.

h. Official minutes of the meeting shall be sent within two weeks to the Executive Committee of the Faculty Senate.

i. Those Senate representatives who are elected in the spring will take office at the beginning of the fall semester. In order to assure continuity in Senate affairs, those Senators who are replaced in the spring election will continue to serve throughout the summer.

## **Section 2. Election of At-Large Senators.**

a. The election of at-large senators shall take place at the closing General Assembly meeting of the spring semester.

b. The Executive committee, or the Chancellor if he or she intends to call and preside over the meeting, shall notify all eligible faculty of the at-large positions which are to be filled. This notification shall be at least fourteen days prior to the meeting.

c. Nominations will be taken from the floor during this meeting and will be closed only when there are no further nominations. Any eligible faculty member will be allowed to nominate himself or herself. Those persons who are unable to attend the meeting are allowed to nominate themselves by written notification to the President of the Faculty Senate at least forty-eight hours prior to the meeting.

d. Voting will be by secret ballot. (Ballots will be supplied by the Executive committee of the Senate.)

e. If there are only as many nominations as there are vacancies, the persons will be considered to be elected by acclamation. Otherwise, to be elected, a person considered for a particular vacancy must receive a majority of the votes of those eligible faculty who are present at the meeting.

f. Those Senate representatives who are elected in the spring will take office at the beginning of the fall semester. In order to assure continuity in Senate affairs, those Senators who are replaced in the spring election will continue to serve throughout the summer.

**Section 3. Replacement of Senate Representatives for Specific Constituencies.** When a vacancy for a specific constituency occurs in the Senate, the head of that unit will be notified of the vacancy by the President of the Faculty Senate. An election to fill that vacancy shall then take place, following the procedures detailed above in the section Election of Senate Representative for Specific constituencies, with the exception that faculty should be given at least five days notice of the vacancy and meeting. The process for replacement of members-at-large is dealt with in the constitution.

Section 4. Election of Officers. \*

a. To be elected, a person considered for the office of President, Vice-President, Secretary, or Treasurer of the Faculty Senate must receive a majority of the votes cast by Senators, excluding blanks or abstentions, at a regular or properly called meeting of the Senate at which a quorum is present.

b. Only those members of the Senate who have been awarded tenure at SUNO may be nominated for the offices of President and Vice-President of the Faculty Senate.

\*Section 4 was adopted on October 21, 1997 and affirmed by the General Assembly in its January meeting, 1998.

### **Section 5. Officer Term Lengths\***

Officers of the Faculty Senate shall serve a term of two (2) years and may stand for re-election for one (1) additional consecutive year if they choose, for a maximum of three (3) consecutive years in the same office.

If an officer elects to vacate their position at the conclusion of the first year of their term, the vacancy shall be filled by a member of the Faculty Senate body following the process for filling officer vacancies as outlined in the bylaws.

### **Section 6. Election of Faculty Senate President\***

The Faculty Senate President shall be elected by the General Faculty Assembly from among the members of the Faculty Senate, in accordance with the election procedures outlined in these bylaws.

The Faculty Senate shall nominate at least two (2) eligible candidates for the position of President. Additional nominations may be accepted from the floor during the General Faculty Assembly election meeting, provided the nominee meets eligibility requirements and consents to serve.

The election shall be conducted by secret ballot of the General Faculty Assembly, with the candidate receiving the majority of votes cast declared the winner. In the event of a tie, a runoff election shall be held immediately.

\*Sections 5 and 6 was adopted on September 9, 2025 and affirmed by the General Assembly September 2025.

## **APPENDIX F Departmental Chair Policy**

## **Appendix F**

### **Departmental Chair Policy**

#### **I. Preamble**

The Southern University at New Orleans Faculty Handbook that was approved in Fall 2018 contains a policy on the services of Departmental Chairs in Chapter II, Section 2.5.13, pgs. 18-20. This Departmental Chair Policy should be seen as a supplement to that policy, as it focuses on important, relevant matters not included in the handbook.

The Departmental Chair Policy emanated from faculty discussions at various levels, including the Faculty Senate. It is, in fact, a reconciliation of the report of the Committee on Departmental Chair Policy and proposals received from the Faculty Senate.

#### **II. Purpose**

The purpose of this policy is to codify responsibilities and conditions relevant to the position of academic department chair.

#### **III. Position Responsibilities**

Department Chair provides broad leadership in a shared decision-making process with the faculty in all areas within the department:

- Academic
- Administrative
- Departmental growth
- Student development activities
- Faculty development
- Departmental policies and procedures

Specific areas and duties to be followed are detailed in Paragraph 2. 5.13 of the Southern University at New Orleans Faculty Handbook, Fall 2018 edition.

#### **IV. Appointment**

The appointment of chairs in academic departments will originate with a formal search, based on Southern University System and EEOC guidelines. The College Dean shall convene a departmental search committee of tenured and tenure-track faculty who will conduct the interviews and make appropriate recommendations to the Dean. The Dean then makes recommendations to the Vice Chancellor for Academic Affairs who recommends to the Chancellor for final approval. The search shall be held at the beginning of the third year of service of the incumbent (no later than March), with terms of office to begin in the following fall semester. The initial implementation of this policy shall begin with staggering of the rotation of current chairs out of their positions as determined by the Vice Chancellor

for Academic Affairs, with input from Deans and faculty. Under extraordinary circumstances, such as accreditation requirements, a small department, a new program, or a completely dysfunctional faculty, an Interim Chair may be appointed by the Chancellor at the recommendation of the Dean and the Vice Chancellor for Academic Affairs.

#### V. Eligibility

Internal and external candidates who wish to be considered for chairmanship should demonstrate an interest in leadership, an aptitude for routine administrative tasks, i.e. day-to-day duties of the position, and a vision for the department. The chair must either be tenured or on a probationary (tenure-track) appointment and should hold the terminal degree in a discipline within the department.

#### VI. Type of Contract

The appointment is a nine-month contract position.

#### VII. Duration of Service

Each chair shall serve a term of three (3) years on first appointment and shall be eligible for a second three-year term. In order to serve a second three-year term, a chair must, at the beginning of his/her third year, request in writing to the Dean his/her intentions to seek a second term. Approval of a second-year term shall be based on a favorable recommendation by faculty in the department, concurrence by the Dean, a positive recommendation to the Vice Chancellor for Academic Affairs, and final approval by the Chancellor. Following the second three-year term, a chair shall not be eligible for appointment until after a minimum of two years. A faculty member who vacates the chairmanship of a department shall retain his/her faculty status in the department and revert to a full-time teaching load.

#### VIII. Teaching Work Load

Per the SUNO Faculty Handbook, Fall 2018 edition (Chapter 7, section 7.5.1, pg. 91) "chairpersons will normally be credited with a 50% teaching load reduction for assuming the duties and responsibilities of chairing a department; but for the summer term, the normal teaching load is three credit hours". This policy shall apply.

#### IX. Chair's Allowance

Chairs shall be paid \$3,000.00 per academic year and may be adjusted for inflation and/or high cost of living.

#### X. Assessment

Chairs will be evaluated by their deans, with input from the tenured and tenure-track faculty members in the department at the end of each academic year during the three-year appointment period. Faculty input shall be provided on a standard form approved for Chair assessment. Criteria for chair assessment shall include: (1) success in the running of routine departmental affairs; (2) availability to faculty and students; (3) fairness in decision making;

(4) personal leadership, courtesy, and intellectual abilities; (5) effectiveness in handling student matters; (6) competence in class scheduling; (7) quality of departmental reports, etc.

An evaluation instrument for use by college deans has already been developed. The instrument assesses the chairperson's comprehensive performance in terms of administrative competency and intellectual leadership in the department, accountability through the timely submission of a variety of administrative reports, conflict resolution skills, direction and achievement of departmental action plan for the year, visibility on campus, and intellectual leadership in the department. Chairs will be informed of the results of the combined evaluations with the purpose of improvement in subsequent performance, as well as to afford the chair an opportunity to clarify misperceptions of the chair's role on important departmental issues.

If the first-year evaluation for the chair is poor, continuation in office for the second year in the three-year appointment term may be allowed as a final opportunity to demonstrate improvement in the required standards of performance and accountability.

#### XI. Removal

A chair shall be removed from his/her position by the Vice Chancellor for Academic Affairs upon recommendation of a majority of tenure and tenure track faculty in the department. Reasons for removal shall be based on poor performance evaluation. In the event a Chair is removed before his/her term has expired, the Dean, in consultation with the faculty in the department, shall recommend an Interim Chair to complete that term to the Vice Chancellor for Academic Affairs and the Chancellor.

#### XII. Effective Date

This policy shall be effective from Fall 2020. All incumbent Chairs shall serve under the terms of this policy for the 2020-2021 and 2021-22 academic years. Chair appointment process, including the staggering of rotation of Chairs, outlined in Item IV above, shall then become effective.

**APPENDIX G Faculty Senate Revised Summer Pay and Overload-  
Adjunct Policy**

## Appendix G

### Faculty Senate Revised Summer Pay and Overload-Adjunct Policy

#### Full Summer School Compensation- 2/9 (22.22%)

Work Load	No. of Courses	Full Compensation	Compensation Per Cr. Hr.	Min. Paid
Undergraduate	3	22.22	7.41	15
Masters	2	22.22	7.41	8
PhD	2	22.22	7.41	5

#### 2) Per Course Compensation

Undergraduate			
Number of Paid Students	% Compensation	9-Month Salary	Summer Salary
15	7.41%		
14	6.91%		
13	6.42%		
12	5.93%		
11	5.43%		
10	4.94%	Ex. \$74,000	\$3,655.60
9	4.44%		
8	3.95%		
7	3.46%		
6	2.96%		
5	2.47%		

Masters			
Number of Paid Students	% Compensation	9-Month Salary	Summer Salary
8	7.41%		
7	6.67%		
6	5.93%		
5	5.19%		
5	4.44%		
4	3.70%	Ex. \$74,000	\$2,738

Ph.D.			
Number of Paid Students	% Compensation	9-Month Salary	Summer Salary
5	7.41%	Ex. \$74,000	\$5,483.40

**3) Summer School Pay Formula:** For classes that do not meet the minimum enrollment required to be considered as a full load will be prorated as follows:

**Teaching Faculty:**

Base Salary X 2/9 or (22.22) x 1/3 x (paid students)/15 (UND); or /8 (Masters); or /5 deans(PhD)

**Department Chair:**

Each Department Chair must teach one 3-credit-hour course at no additional compensation, per the Department Chair Policy, Chapter 2, Section 2.5.13, pp 18-20. This is for both undergraduate and graduate level courses. If teaching only one (1) class, the percentage to use will be 1/9 of the base salary for full compensation. Chairs who teach a second course during the summer session will be compensated at the adjunct rate for that course.

**Program Coordinators:**

Shall receive 1/9 of their base pay if they do not teach a class over the summer, but would still be compensated for the work they are completing.

**Other Specifics:**

Class must have at least five (5) paid students to be considered for the aforementioned formula. Otherwise, class is considered an Independent Study at the following rate of pay:

1-2 paid students = \$300      3-4 paid students= \$500

## **APPENDIX H Grants Compensation Policy**

## Appendix H

### Grants Compensation Policy

#### I. POLICY STATEMENT AND RATIONALE

"The Board of Supervisors is committed to the principle of academic freedom" (Bylaws and Regulations of the Board of Supervisors, Article VIII, Section 1, Academic freedom; URL <http://www.sus.edu/page/bylaws-and-regulations-of-the-board-of-supervisors>, accessed 06/09/2020). "Academic freedom is perceived as the right of members of the academic community freely to study, discuss, investigate, ... conduct research..." (Bylaws and Regulations of the Board of Supervisors, Article VIII, Section 1, Academic freedom; URL <http://www.sus.edu/page/bylaws-and-regulations-of-the-board-of-supervisors>, accessed 06/09/2020).-In this context extra compensation as part of the academic freedom and research activities of faculty need to be treated as a protected privilege and treated differently from extra compensation policies for non-academic employees or roles. Likewise, the faculty handbook of Southern University at New Orleans (SUNO) states that "Members of the academic community have the right to freely study, discuss, investigate, teach, conduct research, ..." (SUNO faculty handbook 2018, IV.4.4 Academic Freedom;). SUNO is accredited by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). Thus, SUNO has to demonstrate compliance of the standard 6.4 "The institution publishes and implements appropriate policies and procedures for preserving and protecting academic freedom." (SACSCOC. RESOURCE MANUAL for the Principles of Accreditation: Foundations for Quality Enhancement Third edition, 2018. Decatur, Georgia). Therefore, the Extra Compensation Policy and Implementation Plan is part of the institution publishing and implementing appropriate policies and procedures for preserving and protecting academic freedom.

The purpose of the Extra Compensation Policy and Implementation Plan is to update the existing policy to provide an allowable extra compensation rate increase from 20% to up to 25% and to further specify the Southern University at New Orleans (SUNO) policies governing faculty allowable Extra Compensation for faculty and staff [unclassified employees]. This policy also determines the processing period and instruments used to award Extra-Compensation. SUNO emphasizes that work on a Grant or Sponsored Program should be performed via release time efforts when feasible. Requests for additional compensation [extra compensation] on Grants or Sponsored Programs will be allowed for classified employees in special or extreme circumstances. Requests for additional compensation [extra compensation] on Grants or Sponsored Programs will be allowed for unclassified faculty under reasonable circumstances and in order to protect academic freedom. Extra-work must not be allowed before final approval by the Office of the Chancellor.

#### II. POLICY SCOPE AND AUDIENCE

This policy applies to all Sponsored Projects administered by the Office of Grants and Sponsored Programs (OG&SP) under the authority of the Office of Research, Strategic Initiatives & Title III Programs. SUNO will recognize Extra Compensation for Grants and Sponsored Programs only as those activities that are beyond the faculty or staff member's regular assigned load and responsibilities. Individuals and offices responsible for affecting this policy include:

- Principle Investigator/Project Director - prepares either a Priority Ordering Test (POT) form to initiate a request for extra compensation approval at the time of proposal submission. Written justification and a sample work schedule must be submitted as attachments to the POT.
- Deans/Chairs/Program Directors/Supervisor of non-faculty employees - review requests for Extra Compensation and endorses only those that have exceptional circumstances and potential benefits that are compelling and well-justified. Endorsed requests for Extra Compensation will be forwarded to the Vice Chancellor for Academic Affairs (for faculty), Director of Grants and Sponsored Programs and the Post Award Administrator for review and approval to move forward.
- Office of Grants and Sponsored Programs (OG&SP) (including the Pre Award and Post Award Administrators as applicable)- reviews requests for Extra Compensation to ensure costs are allowable by the funding agency and that they meet the University's definitions of allowable compensation and exceptional circumstances. Approves and forwards the endorsed requests to the VC for Research/Strategic Initiatives for final approval (prior to funding by agency).
- Vice Chancellor for Research/Strategic Initiatives - reviews requests for Extra Compensation and provides final approval to only those requests that 1) meet the guidelines of the funding agency and/or 2) have reasonable circumstances and potential benefits that are justified by academic freedom.
- Chancellor - has final authority over all requests and can override a decision made by any supervisor in the initiate 's (P1/SUNO employee submitting request) chain of command to deny said request for extra compensation.

### III. POLICY COMPLIANCE

Compliance with this policy ensures that the faculty and staff receive compensation for their efforts and adhere to federal cost accounting practices as stipulated in the Office of Management and Budget Cost Principles for Educational Institutions OMB Circular A- 21(2 CFR Part 220).

### IV. POLICY DEFINITIONS

**Academic Year:** The nine (9) month period covering the Fall and Spring Semesters.

**Academic Year Employee (9-month):** Faculty employed during the Academic or nine- month term. These employees can be considered for Extra Compensation.

**Administrative Personnel:** Those persons who are charged with administering the University affairs and its ancillary units at all levels. This classification includes the chancellor, vice chancellors, deans, departmental chairpersons/program directors, and other staff.

**Extra Compensation:** Defined as an unusual, nonrecurring, and extraordinary payment for SUNO grants and sponsored programs work that falls entirely beyond the normal, regular job assignment. Extra Compensation should not be used as a regular supplement to an individual's salary *nor as a means to pay overtime\**. However, the principle of academic freedom needs to guide assessment decisions for faculty. Repeated requests for Extra Compensation for the same activity may be denied. All requests for Extra Compensation must be approved by the Offices listed and defined as "Approvers" in Section II. Allowable costs for Fiscal Year employees (July 1-June30) will be calculated at a rate of up to 25% annual (12-month salary rate) and up to 25% of the academic (9-month base salary rate) for Academic Year employees.

\*Note. Charging overtime to federal funds for employees whose regular duties are related to and paid through state, university, or other non-sponsored program funds is a violation of cost accounting (2 CFR Part 220) standards.

Explicitly excluded from this definition are earnings that may be paid to an employee from a SUNO source and from the following:

- (1) Patent, copyright, licensing right, or royalty as stipulated by La.R.S. 42:1123 (9) (a); Supplements to salary paid from private funds for which retirement contributions may not be payable.
- (2) One-time supplements to salary as dictated by State Law (i.e. the one-time cost-of-living salary increase paid to SUNO employees as per an Act of the Louisiana Legislature); or that
- (3) Fall in an exceptional category, partly specified by a grant or contract instrument, govern contract instrument, where the nature of site of performance of a grant or sponsored work may lead to payments to an employee from SUNO sources that are not comparable to the regular SUNO salaries and that generally are governed by special instruments. Known exceptional categories currently include long time (usually a month or more) offsite research and federal or state agencies fellowship placements. In these cases, affected employees are generally placed on leave of absence relative to their regular employment at SUNO. In this way, they may enter into another employment or contractual agreement with the

University that allows for the payment of a salary whose rate is unrelated to the Regular Salary Rate defined below and for which other payments (stipends, fees) may be paid (for hardship, housing assistance, etc.).

**Extra-Work:** Defined as work assigned to (or duties and responsibilities assumed by) an employee [faculty or unclassified staff] and that is unrelated to, or independent of, and in excess of his/her normal workload (nature, quantity, separate operation, remote site of execution, etc.) as specified in the basic employment contract or agreement with SUNO. Instances where such work is performed are expected to be incidental and hence not part of a routine practice that continues over years - for a given employee and a given task or assignment. However, the principle of academic freedom needs to guide assessment decisions for faculty.

**Fiscal Year:** The twelve (12) month period (i.e., July 1st of a year to June 30th) of the following, consecutive year; a continuous twelve-month period (with about 365 consecutive days.)

**Fiscal Year Employee (12-month):** Faculty or staff employed during the Annual or 12-month term. These employees are only eligible to be considered for Extra Compensation.

**Fringe Benefits:** Employment benefits made available to employees through the Southern University System and considered to be of particular interest and benefit to its employees. These benefits include retirement, workman's compensation, unemployment compensation, etc.

**Full Time Workload (Classified or Unclassified):** Defined as 40 hours per week for full time employees. However, there is no requirement for academic personnel (instructor; assistant, associate, and full professors; teachers; associates) to be physically present in their classrooms, laboratories or offices where their duties are performed for a period of 40 hours per week. It is also not regulated by a 8 a.m. to 5 p.m. time- frame, as faculty may have evening and night classes or work on weekends.

**Priority Ordering Test (POT) Form:** Form used to determine an employee's eligibility to receive Extra Compensation through a grant or sponsored program activity account.

**Regular Salary (or Compensation) Rate (RSR or RCR):** The amount of compensation paid to an employee per unit time (i.e. month) and that is based solely on the compensation in the basic contract or employment agreement between that employee and SUNO. For a one-month period, this rate will be computed as 1/9th of the nine-month Academic Year salary for faculty members and 1/12th of the fiscal year salary for employees whose employment contracts or agreements cover a twelve-month period. Regular, hourly compensation rates shall be based on 1,560 hours for 9-month employees and 2,080 hours for 12-month employees. All salary information must be verified with the Office of Human Resources.

**Research Activities:** Those activities engaged in or by an employee for the primary purpose of investigating or experimenting, aimed at the discovery of new knowledge, the interpretation of acts, the practical application of new or revised facts; and the opportunity to be creative and stay abreast in the employee's field or discipline.

**Research Agreement:** An agreement between the University and a funding agency for supporting research and the related activities during a designated period. The basic instruments for research agreement include a grant, contract, cooperative agreement or others.

**Sponsored Project/Program:** Defined as a project/program whose implementation is paid entirely or in part, by funds awarded to SUNO from public (federal, state, city, etc.) and/or private (industry, private foundations, etc.) sources. Externally funded research or instructional projects are typical sponsored projects.

**Sponsored Project/Program Instrument:** Defined as the complete collection of all written agreements between SUNO and an awarding or funding agency relative to a project. It includes the approved proposal and its budget, the award agreement (contract, grant, cooperative agreement, etc.), and any subsequent written agreement\*-pertaining to the fiscal operations of a project or program - between the funding agency and SUNO.

*\*Note. For this definition, employees who assign or review extra-work assignments must understand that a letter from an agency director or a program officer, while generally relevant for programmatic activities, does not generally have budget (fiduciary) implications or authorities. In particular, for federal agencies, a written agreement that can alter a budget or allow an extra-work assignment that was not in the initial project instrument must generally be from a "contracting officer or similar." Contracting officers are generally the same individuals that sign the award letter, contract, or agreement.*

**Total Allowable Compensation:** Defined as the total amount of compensation that can be earned by an employee from SUNO and/or sponsored program sources. It is the sum of the regular compensation possible pursuant to the regular (or basic) employment of a faculty or staff member over a twelve-month period, and of the maximum extra-compensation that an employee can earn over the same twelve-month period. This period is ordinarily defined as in any fiscal year [July 1<sup>st</sup>- June 30<sup>th</sup>]. Excluded from this definition of total allowable compensation are earnings that fall in one of the four exceptions delineated above in the definition of extra-compensation.

## **V. POLICY IMPLEMENTATION PROCEDURE General Policy for Extra Compensation and Applicable Rate**

The extra compensation application process should not exceed ten (10) days in the total from submission to final approval. All applications will initially be submitted on paper form until such time as an electronic processing procedure has been fully developed and implemented (similar to Human Resources' electronic personnel action form processing). The electronic extra compensation submission process will allow for a streamlined system with checks and balances for accountability.

As per the Code of Federal Regulation (2 CFR Part 220), the rate at which an unclassified employee is compensated for extra-work cannot exceed the regular salary rate or compensation rate (RSR or RCR) for that employee for the period of performance of the extra-work. If the regular salary rate of an employee changes during the period of execution of an assigned extra-work, the rate for extra-compensation may be changed in such a way that it does not exceed, for any given time period, the regular rate of compensation for that time period. The monthly regular salary rate of a faculty member whose contract covers the nine-month period of the academic year is simply his/her academic year salary divided by nine. Further definition of extra-compensation follows:

1. It is the general policy of SUNO that a sponsored program activity be performed on a basis of release-time. When release-time activity for work performed on a sponsored program has been approved, the grant account shall be charged for that portion of an employee's time devoted to the project (provided it is compatible and approved under the funding agency's grant award term). The rate of compensation charged to the grant account will be the same as that paid by SUNO and include the approved SUNO fringe benefits rate as well as the SUNO-approved indirect cost rate.
2. In those instances, where it is not possible for 9-month faculty to be released from his/her regular University duties [or in the instance of staff, who are ineligible for release-time] to undertake sponsored programs activities, extra compensation may be permitted up to 25% (gross) of an academic year or 9-month salary rate. Additional earnings of 9-month faculty during the summer, do not count for the 25% gross of the 9-month academic year, as those faculty are not getting paid by the university for these 3 months. In those instances, where it is not possible for 12-month faculty to be released from his/her regular University duties [or in the instance of staff, who are ineligible for release-time] to undertake sponsored programs activities, extra compensation may be permitted up to 25% (gross) of a fiscal year or 12-month salary rate. The 25% allowable compensation will be charged during the sponsored program's period of performance and follow the University's fiscal year beginning July 1st and ending June 30th. It is understood that extra compensation will be approved only when the additional duties of the sponsored program do not interfere with the employee's regular duties as assigned by the University/Dean/Chair/Director and are clearly defined in the funding agency's award document and/or the funded proposal's budget justification. The rate of pay for extra compensation shall not exceed the approved extra compensation of 25% during any given month.
3. The 25% limitation also applies to the total amount of extra compensation awarded per fiscal year as well as each separate (monthly or semester) disbursement.

4. For employees, the maximum amount of extra-compensation an employee may earn in a month (i.e., 30 days) is generally his/her regular monthly salary multiplied by 0.25. This represents a one-quarter (1/4) increase in effort level over a month. It is estimated that an extra-work assignment over one-fourth (1/4) effort level will generally result in a decrease in the quantity and/or the quality of regular work.

### **Application of Extra-Compensation**

Occasionally, academic, professional, and other employees are asked to assume responsibility for additional duties unrelated to, or independent of, their normal work. The need for allowing extra work and the related extra compensation will always be evaluated in view of the advantages to SUNO and the conformity of the same to applicable laws, regulations, and policies. When such assignments are clearly not a part of the employee's normal assignment, extra compensation may be permitted if the extra work is explicitly provided for the Sponsored Agreement or approved in writing by the awarding federal agency.

### **Approval Process (follows chain as stipulated in Section II)**

1. If the prospective university employee determines that he/she may be eligible for extra compensation for the proposed extra work to be done on a sponsored project, a request (with prior extra-compensation documentation for the fiscal year) should be made to the head of their unit, who will apply the Priority Ordering Test (POT). This should be done simultaneously with the proposal submission to a funding agency.
2. If it is determined by the unit head that the request passes the POT, then a request should be made by the unit head to the Dean of the College. If the Dean approves the request, then it is forwarded to the Vice Chancellor for Academic Affairs, if applicable, and then to the Director of Grants and Sponsored Programs, who will review the POT (with the assistance of the Post Award Administrator) for compliance. Next, it is forwarded to the Vice Chancellor for Research and Strategic Initiatives/ Executive Director for Title III Programs, who will review the request along with justifications and approve or disapprove. For new proposals with extra work and extra compensation, it must be stated explicitly on: (a) the proposal routing cover, and (b) the budget figures and explanation section. The Director of Grants and Sponsored Programs will check proposals to make sure that these provisions are appropriately stated and that the POT requirement has been met as evidenced by a transmittal letter from the Dean to the Office of the Vice Chancellor for Research and Strategic Initiatives, requesting approval of the proposed work.
3. Once the project is funded, the POT form is then forwarded to the Chancellor for final approval. The Chancellor has final authority on all extra compensation requests.
4. The approved POT form is returned to the Office of Grants and Sponsored Programs who sends it to the recipient for formal processing.
5. The recipient must submit a copy of the approved POT form to Human Resources and the Post Award Administrator to begin an employment personnel action form (ePAF).

## Monitoring Responsibility

1. A unit head (Chair/Director) should maintain a log of all faculty or personnel receiving extra compensation in his/her area and submit same as part of the unit's annual report.
2. For each ePAF that entails an extra-work assignment for extra-compensation, the responsibility for verifying that extra-compensation is allowable, as per the instrument of a sponsored project, if any is involved, will rest with the Office of Grants and Sponsored Programs (OG&SP) and the Post Award Administrator who normally receives the award letter. As a rule, an extra-work assignment involving a sponsored project has to be allowable as per the award instrument, before the ePAF approval is granted. The sponsored project instrument includes the approved proposal and budget for the applicable sponsored project, the award letter (or contract, agreement, etc.) accompanying regulations or documents, and any subsequent written agreement between SUNO and the funding organization.
3. Offices in charge of the computerized ePAF-tracking system at the campus level (including Human Resources and the Post Award Administrator) will track the instances of extra work assigned and the amounts of extra-compensation paid to any SUNO employee. The resulting data that will be compiled by Human Resources in an annual report will allow the documentation of compliance with limits and rates of extra-compensation and will also assist the University in avoiding routine involvement in extra-work by any employee from one year to the next. This is beyond that which is permitted by this Plan or by 29 CFR Part 516 of the Fair Labor Standards Act. Similar data will be collected by Human Resources pursuant to the implementation of 29 CFR Part 516, even though some instances of this implementation may be unrelated to extra-work and extra-compensation as defined here.

## VI. POLICY RELATED INFORMATION

2 CFR Part 220 of the OMB Circular A-21 established principles for determining costs applicable to grants, contracts, and other agreements with educational institutions (<https://www.govinfo.gov/content/pkg/CFR-2012-title2-voll/pdf/CFR-2012-title-2voll-part220.pdf>)

The 2 CFR Part 220 is the basis for the "determination" of the SUNO approved MTDC indirect cost rate at SUNO for all sponsored grants. The 25% extra compensation rate should be used for calculating the charges of the sponsored program budget (as per submitted proposal).

La. R.S. 42:1123 (9) (a) establishes principles for the receipt or sharing in proceeds such as any patent, copyright, licensing right, or royalty by faculty or staff members of a public higher education institution (<https://law.iustia.com/codes/louisiana/2011/rs/title42rs42-1123>)

A copy of the University's current Priority Ordering Test Form can be found on SUNO website. [www.suno.edu](http://www.suno.edu)

## **VII. POLICY HISTORY AND REVIEW CYCLE**

This Extra Compensation Policy is submitted to the Southern University System Board of Directors for approval - September 2020. A Chancellor appointed, ad-hoc Committee, shall revisit the policy every two years. The ad-hoc Committee will include representation from the following office:

- a. Academic Affairs or any Dean/Director
- b. Budget Office
- c. Faculty Researchers
- d. Faculty Senate
- e. Office of Research, Strategic Initiatives/ Title III Programs Executive Director
- f. Director of Grants and Sponsored Programs, and
- g. Human Resources (HR), hereby charged with providing to the Committee all applicable state laws and regulations, particularly as they pertain to the Louisiana Code of Government Ethics and Classified Employees;

## **VIII. POLICY URL**

Upon approval, this Extra Compensation Policy will be maintained in the Office of Research and Strategic Initiatives and the Office of Grants and Sponsored Programs. It will also be posted on the SUNO website at [www.suno.edu/grants](http://www.suno.edu/grants).

## **APPENDIX I Graduate Faculty Policy**

## Appendix I

### Graduate Faculty Policy

#### Addendum to 4.3.1 Categories of Faculty Appointment (Faculty Handbook)

##### Special Appointments 4.3.1a

###### Graduate Faculty:

All full-time faculty or Adjuncts who may be assigned to teach any graduate-level course shall be required to obtain a Graduate Faculty Status appointment before any teaching assignment can be made. This allows the University to comply with SACS-COC standards as well as with University quality standards. The Graduate School and Graduate Council's responsibilities as a policy-making body shall extend to all matters and conflicts related to Graduate students and Graduate faculty members.

#### Addendum to 4.3.3 Appointment Procedures

##### Graduate Faculty Status

1. Graduate Faculty status is a position reserved for those possessing a terminal degree in a related field or discipline. You must obtain Graduate Faculty status to be eligible to teach graduate courses full-time, to be eligible for course release time to conduct research or other creative scholarly activities, and participate on graduate student committees.
2. The Graduate Faculty consist of the head of each of department or institution and all members of the cabinet of the university and faculty representative appointed by the faculty senate body. Members of the general faculty who hold the rank of assistant professor or above at Southern University at New Orleans may qualify for appointment to the graduate faculty status upon the submission of an application with appropriate documentation of scholarly accomplishments attached.
3. Graduate faculty members are distinguished based on their employment status at the University . Only full-time, tenured, or tenure-track faculty are eligible for the distinctions of Graduate Faculty (Full) or Associate Graduate Faculty.
4. **Graduate Faculty (Full-Member)**-A faculty member at the rank of assistant professor, associate professor, or professor who holds a terminal degree appropriate for their discipline, per accreditation standards, who (1) is concluding a term as an Associate Member and (2) was engaged in graduate studies (e.g., teaching graduate courses, mentoring graduate students, serving on committees, etc.) as an Associate Member is eligible for appointment as a Full Member. Faculty with this distinction are eligible to teach graduate courses, serve as graduate advisors and major professors, and hold membership on any committees for which graduate faculty status is required.
5. **Associate Graduate Faculty**- A faculty member at the rank of assistant professor, associate professor, or professor who holds a terminal degree appropriate for their discipline, per accreditation

standards, is eligible for appointment as an Associate Member. Faculty with this distinction are eligible to teach graduate courses, serve as graduate advisors and major professors, and hold membership on any committees for which graduate faculty status is required based on meeting departmental and graduate expectations of Graduate Faculty.

6. The appointment of the graduate faculty is contingent upon scholarly activities that align with academic pursuit and advancing the departmental and university mission. Faculty granted permanent graduate faculty status must submit to the Graduate Council an updated curriculum vita every five years. After review of the vita, the Council may revoke graduate faculty status that aligns differently from the expectations of the department and university if it is determined that there is insufficient scholarly activity.

## Appendix J

### Ongoing Review and Amendment of the Faculty Handbook

#### **Purpose**

The Faculty Handbook is intended to be a living document that accurately reflects the policies, procedures, and expectations of the faculty and the institution. To maintain its relevance, clarity, and compliance with applicable laws, accreditation standards, and best practices, it must be reviewed and updated regularly. This section establishes a structured process for the timely review, proposal, and approval of amendments to the Faculty Handbook.

#### **1. Regular Review Cycle**

- The Faculty Handbook will undergo a **comprehensive review at least once every three (3) years**.
- The review will be conducted by the Faculty Senate or a designated Faculty Handbook Review Committee, in collaboration with the Office of Academic Affairs and other relevant administrative offices.
- The purpose of the review is to ensure all policies remain current, reflect institutional changes, and align with accreditation and legal requirements.

#### **2. Interim Reviews and Urgent Changes**

- Interim reviews may occur **at any time** if:
  - New legislation or accreditation requirements mandate policy updates
  - Institutional changes necessitate revision
  - Clarifications or corrections are needed to improve interpretation and application of policies
- Urgent changes will be addressed promptly and do not require waiting for the next comprehensive review cycle.

#### **3. Proposal of Amendments**

- Any faculty member may submit a proposed amendment to the Faculty Handbook at any time.
- Proposals must be submitted **in writing** to the Faculty Senate Executive Committee and should include:
  - The exact wording of the proposed change
  - The section(s) of the Handbook affected
  - A brief rationale for the amendment, including any supporting documentation
- The Executive Committee will review proposals for clarity, consistency, and compliance before forwarding them to the Faculty Senate for deliberation.

#### **4. Approval Process**

- Amendments to the Faculty Handbook require a **majority vote of the Faculty Senate**.
- Following Faculty Senate approval, proposed changes will be submitted to the Provost/Vice Chancellor for Academic Affairs for review and approval.
- If required by institutional governance, amendments will also be reviewed and approved by the Chancellor and/or the Board of Supervisors.

## 5. Implementation and Communication

- Once final approval is obtained, amendments will be incorporated into the official Faculty Handbook within **thirty (30) days**.
- The updated Handbook will be posted in an accessible location on the university's website.
- Faculty will be notified electronically of changes, and a **summary of amendments** will be provided for quick reference.

## 6. Annual Addendum Option

- In years when a full review is not scheduled, approved policy changes may be issued through an **annual Faculty Handbook Addendum**.
- The addendum will carry the same authority as the Handbook and will be incorporated into the full document during the next comprehensive review.

## 7. Record of Changes

- A **revision history log** will be maintained at the end of the Handbook, listing:
  - The date of each change
  - A brief description of the change
  - The approving body or bodies
- This record will ensure transparency and provide a historical reference for policy development.

## Intent of This Section

This process is designed to keep the Faculty Handbook accurate, relevant, and responsive to the needs of the faculty and institution. By establishing a clear and regular review process, the university aims to prevent long delays between updates and to ensure that policies reflect current standards and expectations.

<b>Revision Date</b>	<b>Section(s) Revised</b>	<b>Summary of Changes</b>	<b>Reason for Change</b>	<b>Approved By</b>	<b>Effective Date</b>
YYYY-MM-DD	e.g., Section IV: Faculty Evaluation	Clarified language on annual review procedures	Align with accreditation standards	Faculty Senate, Provost	YYYY-MM-DD
YYYY-MM-DD	e.g., Section X: Faculty Workload	Adjusted workload policy to reflect online teaching requirements	Response to faculty vote	Faculty Senate, Board of Supervisors	YYYY-MM-DD
YYYY-MM-DD	e.g., Entire Handbook	Comprehensive 3-year review	Regular update cycle	Faculty Senate, Provost, Chancellor	YYYY-MM-DD

## How to Maintain This Table

1. **Every time a change is approved**, add a new row with all columns completed.

2. Include **both policy-specific edits** and **global handbook updates**.
3. Always note the **effective date** so faculty know when the change takes effect.
4. Keep the table **at the very end of the handbook** so it is easy to locate.