GSW

GEORGIA SOUTHWESTERN
STATE UNIVERSITY

FACULTY HANDBOOK

Division of Academic Affairs

Updated July 2024

Table of Contents

I. Faculty ORGANIZATION AND GOVERNANCE (Faculty Senate)

Organizational Chart-
https://www.gsw.edu/about/administration

Georgia Southwestern State University Mission Statement
[1] Georgia Southwestern State University is a state university serving a diverse population of students, offering a range of strong undergraduate and graduate programs in a vibrant learning environment. The University is a collegial community that values collaboration and community engagement with an emphasis on faculty, staff, and student interactions. An active student body and state-of-the-art amenities enhance the learning experience on a visually appealing campus located in historic Americus, Georgia.

[1] Approved by the Board of Regents 10/12/2022.

Diversity Statement

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

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

Faculty and Administration Shared Governance

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

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

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

Faculty Meetings

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

Faculty Senate

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

II. FACULTY AFFAIRS (Committee on Faculty Affairs)

The Corps of Instruction

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

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

1. Provide the highest quality of classroom instruction toward the attainment of the goals of the University, the schools and departments, and the courses.

2. Combine scholarship and research in the faculty member's major field of interest and incorporate the latest research, knowledge and theory in classroom instruction.

3. Seek new and better devices, techniques, procedures, and methods which may improve the teaching and learning process.

4. Recognize individual needs of students and provide challenging learning opportunities for the gifted as well as the average learner.

5. Recognize and provide adequate academic advisement and inspiration through formal and informal conferences with students in order to supplement and improve the regular classroom instruction.

6. Develop efficient and equitable procedures for the evaluation of student academic performance and assign grades which reflect the achievement and progress of students enrolled in the courses.

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

Graduate Faculty

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

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

To be elected to the Graduate Faculty, a faculty member must be recommended, in specific disciplines, by that faculty member's academic dean with concurrence by the Graduate Affairs Committee and the Vice President for Academic Affairs. The faculty member will initiate the Graduate Faculty Application Form, attaching a current curriculum vitae. The form will be routed in the following order: the academic dean for approval, the executive assistant to the provost for verification of eligibility, the Graduate Affairs committee for approval by vote, and then to the

Vice President for Academic Affairs for final approval. Once approved, the Graduate Faculty status is valid for five years.

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

1. A. Holding the terminal degree in the teaching discipline or a related discipline, or
   B. Holding a master's degree in the teaching discipline with a terminal degree in a related discipline, or
   C. In specific cases, holding a master's degree in the teaching discipline and having demonstrated exceptional scholarly or creative activity or professional experience; and

2. Demonstrating exemplary competence in teaching and mentoring of students, including supervision of directed studies and coordination of special projects, service on thesis committees and assisting in the direction of masters' theses; and

3. Demonstrating exemplary competence in scholarship and professional activities, evidence by such activities as:

   A. Documentation of research productivity;
   B. Documentation of participation in professional organizations;
   C. Significant contribution toward the development or revision of graduate courses and programs of the institution; and
   D. Other scholarly and professional activities deemed worthy by the academic dean and the Vice President for Academic Affairs.

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

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

[1] Approved by GSW Faculty 4/30/08

Faculty Work Load

[1]Georgia Southwestern State University recognizes three key areas of Faculty Work to provide a framework for establishing performance expectations for individual faculty members. These key areas are Teaching, Service, and Scholarship-Creative Activity. The ratio of any one of these three areas to the other two may vary between or within academic units; therefore, each academic unit must establish at least one set of typical expectations for its faculty members that defines how each of the three key areas of faculty work apply within that academic unit. Each unit's set of typical work expectations will be recorded in a document called a Faculty Work Profile that will be kept on file in both the unit administrative files and the Office of Academic Affairs. The Faculty Work Profile will be used as a guideline during yearly evaluations and decisions of promotion and tenure. Each unit may have its own guidelines for promotion and tenure that outline specific expectations for each level of promotion and/or tenure, however those guidelines should align with the Faculty Work Profile for each faculty member.

Since GSW is primarily a teaching institution, the majority of any fulltime faculty member's work will be teaching. Expectations must be established in all key areas for all types of fulltime faculty including tenured, tenure-track, non-tenured, and visiting faculty of whatever rank. In units with department chairs, teaching expectations for each department chair must be defined by the unit's academic dean.

The standard guidelines for fulltime teaching at the undergraduate level per semester for tenured, tenure-track, and visiting faculty with the rank of assistant professor or above are as follows: lecture courses (12 credit hours), studio art classes (9 credit hours, which are equivalent to 18 contact hours), lab sciences (12 contact hours), and music (12 contact hours.) Additionally, fulltime teaching for all ranks of lecturers is twelve to fifteen (12-15) credit hours. Class size standards and best practices are defined by each unit in the work profiles. The standard guideline for fulltime teaching at the graduate level is nine (9) credit hours per semester. If a unit awards graduate degrees, it must establish a set of comparative expectations for graduate and undergraduate teaching to guide teaching assignments that include a mix of undergraduate and graduate teaching. All units must define overload teaching and establish reasonable limits on annual overloads. Overload limits and expectations are established and apply not only to teaching at GSW, but also to teaching for eCore or for any other USG or non-USG institution. Faculty members teaching for institutions other than GSW, including eCore, must receive permission from his or her academic unit and the Office of Academic Affairs prior to any term in which he or she wishes to teach elsewhere, ideally before GSW class schedules are set.

Each academic unit must establish expectations for the service expected of faculty members. For faculty members who are not eligible for tenure, service may not be expected depending upon the nature of the appointment. Expectations will be established by units. Each unit may consider departmental service, service to the larger university community, and community service, if any.

Each GSW fulltime faculty member regardless of rank is expected at a minimum to remain current in both the content and the pedagogy of his or her area of expertise. Each unit may establish expectations for Scholarship or Creative Work beyond this minimum expectation. In addition, each unit must define the nature of acceptable Scholarship or Creative Work, such as peer-reviewed publications or professional exhibitions or performances. If the expectations differ for faculty members at different points in the tenure, promotion, or post-tenure process, those expectations must be articulated in the unit's Faculty Work Profile(s).

The Office of Academic Affairs is responsible for determining a timeline for establishing and reviewing Faculty Work Profiles. The Faculty Affairs committee will develop a consistent format for the profile documents. Initial profiles and any subsequent changes to a unit's profiles must be approved by the Dean, with final approval by the Provost.

[1] Approved by GSW Faculty 04/30/2019

Academic Advisement

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

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

If a student desires to make a change in his/her program of study, he/she should meet with the department or an advisor in the new program of study to discuss the requirements and expectations of the new major. (This can be arranged through each department area's administrative assistant.) A decision is reached as to which curriculum the student will pursue, the student must complete a "Curriculum/Advisor Change Form." This form may be secured from the Office of the Registrar or online at https://www.gsw.edu/academic-resources/files/student-forms/MajorMinorChange_2018.pdf. While advisors are especially adept in curriculum requirements in a specialized program, they are expected to be knowledgeable of general university requirements for graduation, including the core curriculum, foreign

language requirements (in all B.A. and some B.S. programs), physical education requirements, and the requirements for history and Constitution of Georgia and the United States, as well academic policies and procedures. Advisors are expected to use Degree Works to assist students in planning on-time degree completion and to monitor advisee success and progress through such mechanisms as Beacon, Degree Works and DWF reports.

The purpose of faculty evaluation is to provide regular feedback to faculty members regarding their performance so they can provide high quality service to the University. Regular evaluations provide an opportunity to assess strengths and weaknesses of faculty performance. There are five major components (the three pillars of Teaching, Service, and Scholarship, and participation in Student Success Activities and Faculty Development Activities in some combination across the three pillars) of the evaluation system for tenure-track faculty, and three stages where these components are used for evaluation – the annual evaluation, pre-tenure review, and post-tenure review. Lecturers and Senior Lecturers will be provided with an annual evaluation. A primary purpose for the evaluation system is the professional growth, development and progress of the individual faculty member. This ensures that each member is an important part of the University's accomplishment of its goals and objectives.

Evaluation

The material in this section was reviewed by an *ad hoc* committee of faculty from the Faculty Affairs and Academic Affairs Committees, and then reviewed and approved by Faculty Affairs, the Faculty Senate, and the full faculty, after many opportunities for input from the faculty, as defined in this faculty handbook. It also incorporates BOR comments and feedback. It was approved by the full faculty on October 13, 2022. A later draft, incorporating small BOR changes, was endorsed by the Faculty Senate on November 17, 2022.

The USG faculty evaluation system for tenure-track faculty is comprised of annual evaluation, three-year pre-tenure evaluation, tenure evaluation, promotion evaluation, and recurring post-tenure evaluations. For non-tenure track faculty (lecturer, senior lecturer, instructor, or academic professional), the evaluation system is comprised of annual evaluations and promotion evaluation.

The accumulated annual evaluations form the foundation for and drive all subsequent review processes, making this part of the feedback process critical to future success. As such, this section seeks to clearly define the annual evaluation process, to improve short- and long-term outcomes.

Likewise, because effective and accurate annual evaluations form the foundation for staffing decisions later, individuals who conduct these evaluations should have regular training on how to conduct evaluations, limiting bias. Tools for training can be found on the USG website and at MomentumU@USG, and may be developed through the Office of Teaching and Learning and other sources.

Departments and Colleges may develop their own review forms and rubrics, in addition to using the Likert scale below, for assessing individual items on the review form. Annual evaluations should be adjusted to reflect GSW's mission statement and the relevant expectations of faculty members as they progress in their career stage and rank. The University Promotion and Tenure Committee is responsible for reviewing and approving all college- or department-developed annual evaluations with the advice and consent of the Provost. The University P&T Committee will ensure standardization of expectations to ensure consistency across campus, and the Provost's office will ensure consistency with BOR guidelines. Colleges and departments may make changes to their rubric at any time, provided that these two groups approve of changes.

To ensure that evaluations are prepared and delivered in an impartial way that provide the best feedback to faculty, the Office of Academic Affairs will work with Human Resources to identify and deliver annual training for those who conduct the evaluations. Areas which will be included include such things as properly measuring existing goals, eliminating any forms of bias or procedural errors which may occur in the process which could have an impact on ratings, creating objective goals for the upcoming year,

effectively documenting decisions which could lead to remediation plans later, conducting an effective two-way conversation in a meeting with the faculty member, and handling objections or disagreements related to evaluation results.

In all stages of review, decision criteria may consist of qualitative and quantitative assessments. Faculty workload percentages shall be factored into the annual evaluation scoring systems, as defined by colleges and department in policies on file with the Provost's office. Quantitative assessments will be measured utilizing a five-point Likert scale, where 5 is exemplary, 4 is exceeds expectations, 3 is meets expectations, 2 is needs improvement, and 1 is does not meet expectations. Qualitative measures should strive for objectivity and reduce subjectivity as much as possible.

"Noteworthy," "outstanding," and "excellent" achievement as referenced in BOR Policy 8.3.7.3 and in this Faculty Handbook is reflective of a 4 or 5 on this scale.
"Satisfactory" as referenced in this Faculty Handbook is reflective of a 3 on this scale.
"Deficient" and "unsatisfactory" as referenced in this Faculty Handbook is reflective of a 1 or 2 on this scale.
For annual evaluation purposes, a rating of "deficient" or "unsatisfactory" in any area will trigger remediation, to be described below.

For the purpose of annual evaluation, and throughout this document and the Promotion and Tenure section which comes later in this document, where the words 'Departments and Colleges,' 'Department or College,' 'Department Chair or Dean,' or similar language is used to assign discretion over a part of the evaluation process, this language should be interpreted as referring to the evaluated faculty member's direct report.

The purpose of faculty evaluation is to provide regular feedback to faculty members regarding their performance so they can provide high quality service to the University. Regular evaluations provide an opportunity to assess strengths and weaknesses of faculty performance. There are five major components (the three pillars of Teaching, Service, and Scholarship, and participation in Student Success Activities and Faculty Development Activities in some combination across the three pillars) of the evaluation system for tenure-track faculty, and three stages where these components are used for evaluation – the annual evaluation, pre-tenure review, and post-tenure review. Lecturers and Senior Lecturers will be provided with an annual evaluation. A primary purpose for the evaluation system is the professional growth, development and progress of the individual faculty member. This ensures that each member is an important part of the University's accomplishment of its goals and objectives.

Annual Evaluation

To ensure each faculty member is aware of the expectation of his or her supervisor and is informed of his or her progress as a member of Georgia Southwestern State University faculty, each faculty member will be evaluated on an annual basis. The annual evaluation serves as an evaluation of progress and a discussion of expectations. Achievement of objectives and goals of the individual and of the University will be a major part of the evaluation. The annual evaluations provide the foundation for developing recommendations for pre-tenure, promotion, tenure, post-tenure review, salary increases, termination, and other tangible or intangible rewards.

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

Each faculty member shall be responsible for providing a self-evaluation of the prior calendar year, with sufficient comment and documentation no later than January 10 of a given calendar year. The faculty member's designated reviewer will look over the submitted materials and establish a rating of 1-5 for each category based on the documentation provided. In addition, the faculty member's designated reviewer

shall indicate on the annual evaluation whether the faculty member is currently subject to a Performance Improvement Plan (PIP) related to Faculty Conduct, and any relevant commentary on progress. The faculty member's designated reviewer shall meet with the faculty for discussion of these ratings no later than the end of February, to give the faculty member sufficient time to work on adjustments in the event of a poor area of review.

The method that is used to create a score or numeric rating on the five areas shall be determined by the Department or College, in consultation with the faculty of those areas. These scoring processes shall be approved by the University P&T Committee and by the Provost's office before they can take effect.

1. Because GSW is primarily a teaching institution, performing at a "noteworthy" evaluation in the area of Teaching is expected for Pre-Tenure, Tenure, and Promotion.

2. Measurement of teaching effectiveness should focus on components related to both instructional quality and quality learning, including such things as assessment of student perception, evidence of effective student learning, the use of continuous improvement methodologies, peer assessment of pedagogy, an evaluation of curricular design, quality of assessment and course construction, and the use of established learning science methodologies.

   The teaching component of the evaluation must include student and peer input. The university has adopted a campus wide instrument which is to be used for student input. For purposes of annual review, a faculty member must submit a representative sample of at least half of the courses taught during that review period. Peer input shall be collected through in-person and/or online observation of pedagogy, with colleges and departments determining the specific components of teaching to measure. It is recommended that each faculty be observed and evaluated in at least one class each semester.

3. The evaluation must note level of participation in Student Success Activities in each of the three pillars (Teaching, Service, and Scholarship) where they occur, understanding that some areas may not have any Student Success Activities. Activities must justify a rating of "satisfactory" or higher cumulatively across the pillars. The evaluator must look at all activities across the three pillars and determine a single score that represents the cumulative effort. Student Success Activities can be simultaneously counted in both student success and one of the pillar areas (teaching, service, or scholarship) that it is listed under. However, a single student success activity may not be simultaneously counted for more than one pillar. For example, a single student success activity counted in teaching will contribute towards both student success and teaching, but the same student success activity cannot be counted in both teaching and service.

4. Service activities should primarily focus on service to the department, to the college, to the campus, and to the discipline. Activities in each of these areas should be included in review materials. In addition to these types of service, it is recognized that due to our rural location and small community, service to the community through volunteerism is important to the health of our region. For this reason, these activities can be included as an element of service, but cannot be disproportionate to the other areas of service listed. Departments and Colleges will have the primary responsibility for ensuring service is predominately related to the institution and discipline, and for defining how much community service is permitted to count towards the overall service requirement.

5. The written evaluation must include a listing of Faculty Development Activities in each of the three pillars (Teaching, Service, and Scholarship) where they occur, understanding that some areas may not have any Faculty Development Activities, and a listing of planned development activities for the upcoming year. These activities must justify a rating of "satisfactory" or higher cumulatively across the pillars. The evaluator must look at all activities across the three pillars and determine a single score that represents the cumulative effort. Faculty Development Activities can be simultaneously counted in both faculty development and one of the pillar areas (teaching, service, or scholarship) that it is listed under. However, a single faculty development activity may not be

simultaneously counted for more than one pillar. For example, a single faculty development activity counted in teaching will contribute towards both faculty development and teaching, but the same faculty development activity cannot be counted in both teaching and service.

6. The research / scholarship component of the evaluation should cover academic activities which broaden the faculty's knowledge in their area of expertise and further the body of knowledge in the academic community, through activities such as peer-reviewed papers, conference presentations, and other active research that is recognized by your discipline.

7. The written evaluation will be discussed by the faculty member's supervisor with the faculty member, and the overall evaluation should indicate whether the faculty member is making progress towards the next promotion or tenure-related review and identify areas where work is needed, if not. The faculty member will sign the evaluation indicating that he or she is aware of its contents, and this signed document will become part of the official evaluation record. The supervisor will discuss with the faculty member the specific areas where improvements need to be made in order to achieve promotion and/or tenure.

8. Lecturers and Senior lecturers will be provided annual evaluations in the same method the academic unit uses for tenure-track faculty, but only follows PRP remediation at the discretion of Department Chair or Dean. Lecturers and Senior Lecturers must focus on teaching and may choose one of either Scholarship or Service as a focus. Lecturers' and Senior Lecturers' performance on other criteria should be noted in annual evaluations, but is not expected or required.

9. The annual evaluation summary must be written by the evaluator and signed by both the faculty member and the evaluator, and will address the specific criteria in the five components of achievement listed above.

10. A faculty member whose primary responsibilities do not include teaching shall have an evaluation which focuses on excellence in those areas (e.g., research, administration, and elements of student success) where the individual's major responsibilities lie. While a faculty member's performance evaluation may be deemed as "Not Meeting Expectations" for other reasons, they must be so assessed if a majority of their work responsibilities are assessed as "Not Meeting Expectations." Faculty workload percentages shall be factored into the annual evaluation scoring systems, as defined by colleges and department in policies on file with the Provost's office.

11. Remediation and Appeals process
    For the remainder of this section of the handbook, a "Performance Remediation Plan," or PRP, is defined as a document used to address faculty deficiencies based on the outcomes from the annual review. The purpose of the PRP is designed to enable the faculty member to correct unsatisfactory performance in some aspect of their role or responsibilities.

    Tenured or tenure-eligible faculty who are scored as "unsatisfactory" or "not meeting expectations" in any of the five areas of the annual review will, in cooperation with the academic administrator (department chair or Dean), create a PRP to guide the faculty back to good standing. The faculty member will be required to sign this document, indicating agreement to the conditions and terms. The goal for that next year is to improve performance in the area of deficiency so that the end result is a satisfactory rating in that area, and to work to ensure that no other areas fall to deficiency in the process of improving this area.

    The plan must be submitted to the faculty member and to the Provost's Office. The academic administrator shall meet with a faculty member who is under a PRP twice during Spring semester (once around mid-term and again near the end of the term) and once during Fall semester (around mid-term) to assess progress and to discuss next steps if sufficient progress is not being made towards successful completion of the requirements of the PRP. After each meeting, the academic administrator should summarize the meeting in writing and indicate if the faculty member is on track to complete the PRP.

Consequences for failure to meet the expectations of the PRP must be stated at the conclusion of each meeting. These documents should be signed by both the academic administrator and the faculty member, with copies kept by the academic administrator, the faculty member, and the Provost's office. The components of this PRP must be met within a one-year period.

Final review of the PRP shall take place in conjunction with the annual review the next year.

If the faculty member has fulfilled the requirements of the PRP and has no other review items which are rated as "unsatisfactory" or "not meeting expectations," they will move back into good standing. The academic administrator will summarize the meeting in writing, to be signed by both the academic administrator and the faculty member, with copies kept by the academic administrator, the faculty member, and the Provost's office.

If the faculty member has not fulfilled the requirements of the PRP or has a rating of "unsatisfactory" or "not meeting expectations" in any other area of review, that faculty member will enter into a Performance Improvement Plan (PIP – as defined in Section III. Promotion and Tenure) or, for tenured faculty, a Corrective Post-Tenure Review (CPTR – which follows the same process as a Post-Tenure Review as defined in Section III. Promotion and Tenure). Additionally, for faculty members entering a PIP, conditions will be included which note that failure to remedy deficiencies by the end of that review year will result in consequences which may include, but are not necessarily limited to, suspension of pay, salary reduction, revocation of tenure, and separation from employment.

If the faculty member disagrees with the results as given by the academic administrator, they shall be entitled to appeal to a three-member committee of the faculty member's peers, two of which are appointed by the academic administrator, and one of which is selected by the faculty member. This appeal must be made in writing to the academic administrator within ten business days of the annual evaluation meeting where the "unsatisfactory" or "not meeting expectations" decision is communicated.

The appeals committee will review the conditions of the PRP and documentation related to progress made towards fulfillment of the terms (as discussed in the three update meetings described earlier) and then render within ten business days a decision in favor of the academic administrator (PRP conditions not fulfilled) or in favor of the faculty member (PRP conditions were fulfilled.) The appeals committee will detail in writing its conclusions regarding the decision with explanation of the factors considered in reaching that decision. Copies of this document will be kept by the academic administrator, the faculty member, and the Provost's office.

If the appeals committee decides against the faculty member (PRP conditions were not fulfilled), the faculty member may appeal in writing within ten business days to the Provost's office. The Provost will follow the same procedure as the appeals committee and render within ten business days a decision in favor of the appeals committee or in favor of the faculty member. This decision will be explained in writing the conclusions regarding the decision with explanation of the factors considered in reaching that decision. Copies of this document will be kept by the academic administrator, the faculty member, and the Provost's office. The decision of the Provost's office cannot be further appealed.

12. Annual evaluations will be utilized as a part of subsequent pre-tenure and post-tenure reviews as well as retention, promotion, and tenure decisions.

13. It is intended for these guidelines to establish a common approach to feedback for all faculty across campus and to help in standardizing areas of focus for comparability across departments and colleges, but it is emphasized throughout that academic freedom is a main cornerstone of higher education, and nothing in these processes is intended to reduce or remove the amount of academic freedom afforded to faculty as defined in the next section of this Handbook.

14. Faculty whose primary area of responsibility is not teaching shall be evaluated in the appropriate areas where their major responsibilities lie.

15. These annual evaluation processes and guidelines have been developed by members of the Faculty Affairs and Academic Affairs Committees, and then reviewed and approved by Faculty Affairs, the Faculty Senate, and the full faculty, after many opportunities for input from the faculty, as defined in this faculty handbook.

Criteria

The broad pillars of achievement for faculty are Teaching, Service to the Institution, and Scholarship. The level of performance in these pillars will be determined by individual academic units based on criteria established by those units.

In addition to these pillars, all academic units must acknowledge the importance of Student Success Activities and Faculty Development Activities in some combination within these three broad pillars. A record of participation in Student Success Activities and Faculty Development Activities across the pillars must be included in the evaluation. These two items will not receive an individual rating within a given pillar, but each item must be given an overall cumulative rating as the evaluator looks at activities across the three pillars.

Generally speaking, "Student Success Activities" is a comprehensive term for faculty effort expended to support the short-and long-term academic and professional success of undergraduate, graduate, and professional students."

Likewise, "Faculty Development Activities" is a comprehensive term for faculty effort expended to improve their knowledge in their field, to improve teaching pedagogies, and to improve faculty-student interaction inside and outside the classroom.

Because some activities may reasonably fit into multiple categories, the faculty member and the evaluator can make the determination as to which category is most appropriate.

1. TEACHING

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

Measuring Quality Teaching

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

Nonetheless, the faculty agrees that there are basics of quality teaching that should be included in the evaluation when appropriate. These basics for use with specific criteria set by individual departments and schools are:
- exhibiting mastery of subject matter
- being respectful to students, their differences, and their individual learning needs

- using contemporary strategies and materials suitable to the needs of the students being responsive to academic needs of individual students.

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

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

2. SCHOLARSHIP

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

Because Georgia Southwestern State University is primarily dedicated to excellence in teaching, the University recognizes that the principal foundation of teaching is a sustained commitment to scholarship and the serious practice of disciplinary expertise. A creative process of inquiry and exploration, scholarship is comprised of four categories that are *equally* valued at the University. While these categories often overlap, an individual's scholarship may be concentrated in one of the categories defined herein.

The scholarship of discovery

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

 - Conference presentations and posters; articles and books, especially those that are peer-reviewed or invited; postings to peer-reviewed, professionally affiliated Websites and electronic databases; the creation of peer-reviewed, research-oriented Websites

- Generation of creative products, including recitals, compositions, exhibitions, contests, performances, patents, novels, short stories, translations, or other peer-reviewed activities, as appropriate to each discipline.

- Professional awards and recognition for such efforts.

The scholarship of integration

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

 - The creation, and peer-review, of textbooks, video and multi-media classroom materials, or pedagogical software applications.

- The publication in print or electronic format of peer-reviewed works of synthesis conveying or summarizing knowledge for non-specialists.

- Conference participation as a panelist, discussant, or session chair.

- Participation as a panelist or speaker in campus colloquia and open seminars.

- Service as a referee for articles, extended reviews, editorial boards.

- Professional awards and recognition for such efforts.

The scholarship of application

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

 - Service activities that flow directly from one's special field of knowledge where new intellectual understandings may result from the very act of application. Such activities can include medical diagnosis, service to clients in psychotherapy, the shaping of public policy, the creation of an architectural design, work with public schools, "workshopping" with public school teachers, and service as a consultant.

- Giving workshops to train other faculty members in a certain method or approach.

- Submission of and/or participation in grants, fellowship programs, or other externally funded support for scholarship activities.

- The award of institutional support for scholarship efforts.

- Attendance and/or assumption of leadership roles in discipline-related organizations.

- Achievement or maintenance of professional certification or licensure pertinent to teaching area or professional education.

- Continuation of practical experiences outside of the University pertinent to teaching duties, such as professional work with schools and/or outside entities.

- Participation in professionally organized, discipline-based field excursions.

- Professional awards and recognition for such efforts.

The scholarship of teaching

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

 - Peer-reviewed publications, presentations at professional conferences, or being a speaker at an invited talk related to pedagogy in one's area.

- Participation in formal course work beyond the terminal degree, special courses, and/or workshops to improve upon or acquire professional competencies in content-pedagogy, including emerging technologies.

- Writing extended reviews of recent books and/or articles in the content-pedagogy of your discipline, either for peer-reviewed publication or internal review as tangible evidence of remaining abreast of the successful instructional strategies of one's discipline.

- The creation and implementation of an innovative, original course with content-specific goals and a method for external assessment.

- The creation and/or implementation in a course of an innovative pedagogical approach whose outcome is publicly documented.

- Professional awards and recognition for such efforts.

3. **SERVICE TO THE INSTITUTION**

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

- Rendering conscientious and effective academic advisement and/or career counseling [1]with the exception of Library faculty
- Developing and/or participating in recruitment activities
- Participating in professional activities, such as consulting, clinical work, and providing technical assistance in ways that reflect favorably on the University and ~~fits~~ fit within the confines of the USG Consulting Policy 8.2.18.2.3
- Performing notable work collaboratively or individually with a committee, group, project, etc. including organization of campus programs and preparation of special reports and other accreditation documents
- Supporting campus activities by working with clubs, attending campus events, participating in student functions, etc.
- Bringing outside funds to the institution, such as grants or contracts
- Using your professional expertise to render service to the community, further the mission of the University, or reflect favorably on the University (community should not be construed in narrow geographic terms).
- Actively participating in a University/College Committee is required. This can include serving on a Faculty Senate determined Faculty Committee, a university task force, a university ad hoc committee, providing leadership to a departmental and/or college program or committee, or any committee deemed as reaching this level of service by the dean of the college.
- Providing leadership on university/college committees, as defined above, should be limited to those at the rank of Associate Professor or higher unless approved by the faculty member's dean.

Examples of activities which could be included as Student Success Activities (some of which may also count as Faculty Development Activities) under the pillars are, but are not limited to, such things as these:
- facilitating study review sessions, tutoring, or supplemental instruction,
- engaging in Transparency in Learning and Teaching (TILT) activities or other High Impact Practices (HIP),
- teaching a practicum and/or internship course,
- teaching a section of UNIV 1000,
- guiding an independent study,
- supervising student teachers,
- mentoring senior seminar or capstone projects,
- pedagogical approaches such as student peer interaction, workshopping, Reacting to the Past pedagogy, other similar activities designed to develop more student-centered teaching approaches,

- Pedagogical approaches, including but not limited to those consistent with "Universal Design for Learning" (UDL), that work to accommodate the needs and abilities of all learners and eliminate unnecessary hurdles in the learning process. (see https://teaching.cornell.edu/teaching-resources/designing-your-course/universal-design-learning)
- working with a student to participate in the Undergraduate Research Symposium,
- partnering with a student to develop a manuscript for professional conference or academic publication, building course activities into the syllabus which focus on, develop, and strengthen the ability of students to engage in effective scholarship,
- creating awareness and excitement towards undergraduate research opportunities,
- other similar activities designed to develop more student-centered scholarship approaches,
- advising,
- being trained to facilitate Group Interaction Feedback Techniques (GIFT) and then facilitating a review for another faculty member,
- advising student organizations,
- leading Teaching Circles or Book Clubs which focus on student success,
- engaging in committee work on things like curriculum revision,
- designing new courses,
- participating in Preview and STORM Days,
- engaging in student recruitment,
- leading or participating in student events on campus,
- implementing curricular reform based on disciplinary best practices or research on teaching and learning,
- implementing service or community-focused projects in the classroom,
- developing Experiential learning in the curriculum,
- curriculum that results in portfolios or other professional development for students,
- curriculum that adapts to varied learning styles,
- curriculum that increases student self-efficacy (e.g. contract grading),
- supplemental activities for advanced students in class,
- reality-based learning experiences, such as cases, problem-based or project-based learning, role plays, and simulations,
- developing interactive, student-centered class materials,
- centering collaborative and cooperative learning,
- or other similar activities designed to engage in more student-centered service activities.

Examples of activities which could be included as Faculty Development Activities (some of which may also count as Student Success Activities) under the pillars are, but are not limited to, such things as:
- participating in Teaching Circles or Book Clubs that focus on teaching pedagogies, student interaction, or student motivation,
- receiving a Group Instructional Feedback Technique (GIFT) visit and then applying the suggestions,
- completing self-study courses or reading books related to better teaching,
- attending conferences, sessions at those conferences, workshops, and seminars that focus on best practices in teaching or subject matters taught,
- Participating in Teaching Circles or Book Clubs that focus on pedagogical approaches, including but not limited to those consistent with "Universal Design for Learning" (UDL), that work to accommodate the needs and abilities of all learners and eliminate unnecessary hurdles in the learning process. (see https://teaching.cornell.edu/teaching-resources/designing-your-course/universal-design-learning)
- participating in Teaching Circles or Book Clubs that focus on scholarship,
- completing self-study courses or reading books related to better scholarship,
- attending conferences, sessions at those conferences, workshops, and seminars that focus on best practices in scholarship or research,
- serving as a reviewer for a peer-reviewed manuscripts,
- preparing and administering grant applications,

- participating in Teaching Circles or Book Clubs that focus on campus service,
- completing self-study courses or reading books related to better campus service,
- attending conferences, sessions at those conferences, workshops, and seminars that focus on best practices in service to the campus,
- or other similar activities designed to engage in more student-centered activities.

While lengthy, it should be recognized that these lists are not exhaustive. It should also be noted that activities specifically included in these lists do not deny or disparage other activities that are not included in these lists. Other activities may be considered at the discretion of the Department or College.

It is possible that some activities could be applicable towards both the SSA and the FDA categories. An activity that could be used in either category can be used in both simultaneously. How and where an activity is counted is at the judgment of the faculty member and the evaluator(s).

[2]Academic Freedom

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

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

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

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

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

[1]Approved by GSW Faculty 5/1/2009
[2]Approved by GSW Faculty 4/30/2008

STATEMENT ON ACADEMIC RIGHTS AND RESPONSIBILITIES
American Council on Education
Adopted by the Board of Regents

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

these terms, and the rights and responsibilities of individual members of the campus community, should be reiterated.

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

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

- American higher education is characterized by a great diversity of institutions, each with its own mission and purpose. This diversity is a central feature and strength of our colleges and universities and must be valued and protected. The particular purpose of each school, as defined by the institution itself, should set the tone for the academic activities undertaken on campus.

- Colleges and universities should welcome intellectual pluralism and the free exchange of ideas. Such a commitment will inevitably encourage debate over complex and difficult issues about which individuals will disagree. Such discussions should be held in an environment characterized by openness, tolerance and civility.

- Academic decisions including grades should be based solely on considerations that are intellectually relevant to the subject matter under consideration. Neither students nor faculty should be disadvantaged or evaluated on the basis of their political opinions. Any member of the campus community who believes he or she has been treated unfairly on academic matters must have access to a clear institutional process by which his or her grievance can be addressed.

- The validity of academic ideas, theories, arguments and views should be measured against the intellectual standards of relevant academic and professional disciplines. Application of these intellectual standards does not mean that all ideas have equal merit. The responsibility to judge the merits of competing academic ideas rests with colleges and universities and is determined by reference to the standards of the academic profession as established by the community of scholars at each institution.

- Government's recognition and respect for the independence of colleges and universities is essential for academic and intellectual excellence. Because colleges and universities have great discretion and autonomy over academic affairs, they have a particular obligation to ensure that academic freedom is protected for all members of the campus community and that academic decisions are based on intellectual standards consistent with the mission of each institution.

USG Core Values Statement*

The University System of Georgia is comprised of our 26 institutions of higher education and learning, as well the System Office. Our USG Statement of Core Values are Integrity, Excellence, Accountability, and Respect. These values serve as the foundation for all that we do as an organization, and each USG community member is responsible for demonstrating and upholding these standards. More details on the USG Statement of Core Values and Code of Conduct are available in USG Board Policy 8.2.18.1.2 and can be found on-line at https://www.usg.edu/policymanual/section8/C224/#p8.2.18_personnel_conduct

 Additionally, USG supports Freedom of Expression as stated in Board Policy 6.5 Freedom of Expression and Academic Freedom found on-line at https://www.usg.edu/policymanual/section6/C2653.

* This policy has yet to go through normal channels of Faculty Governance, and was added at the request

Faculty Conduct Policy

In accordance with USG policy 8.3.9.1, which states that each USG institution "should provide for standards governing faculty conduct, including sanctions short of dismissal and procedures for implementing such sanctions," the following procedures will be used to address conduct that a faculty member's designated reviewer deems to be egregiously and/or chronically unprofessional.

Step 1: The faculty member's designated reviewer should schedule a meeting with the faculty member to discuss the conduct in question. The egregious and/or chronic nature of the unprofessional conduct should be communicated in clear terms. A formal record of this meeting and its discussion points should be emailed to the faculty member immediately following.

Step 2: If the specified unprofessional behavior continues within one calendar year of the email relevant to Step 1, the faculty member's designated reviewer should follow-up with an additional meeting and a written statement/agreement that include: (1) the specific nature of the egregiously and/or chronically unprofessional behavior, (2) the manner in which this behavior has been observed and documented, and (3) the specific behaviors that, if continued, may require a Professional Improvement Plan (PIP) for that faculty member. This agreement should specify that if no such behavior is observed over the following two years, the risk of a PIP will be eliminated. If the faculty member does not sign the agreement after it is presented to them, the risk of a PIP related to the unprofessional behavior specified will continue indefinitely.

Step 3: If the faculty member violates the terms of the written agreement in Step 2 over the relevant period of time, the faculty member's designated reviewer may then pursue a Professional Improvement Plan (PIP) on Faculty Conduct, in accordance with existing GSW policies. Failure to comply with the terms of the PIP may result in termination.

Grievance Procedures for Faculty and Staff

1. **Definition**

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

2. **Purpose**

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

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

3. **Policy**

   All employees shall receive fair and equitable treatment. These procedures apply to all employee

grievances which arise while employed at Georgia Southwestern State University. Employee grievances will be resolved promptly and fairly.

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

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

4. **Informal Grievance**

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

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

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

5. **Mediation Procedure**

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

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

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

6. **Steps for Mediation**

   a)   The parties in dispute jointly choose one mediator from a panel. The panel of mediators is located in the Office of Human Resources.

   b)   The mediator will set up a time for the employees to meet. This meeting will take place within five (5) working/class days after the mediator is chosen.

   c)   At the time of the meeting, the mediator will assist the two parties in finding a mutually agreeable and fair solution to the conflict. The mediator may offer suggestions, but cannot impose a solution.

d)   If the employee is not satisfied with the outcome of mediation, he or she can file a formal grievance.

7. **Formal Grievance Procedure**

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

a)   Establishment of Grievance Panel

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

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

b)   Eligibility of Service of Grievance Panel

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

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

c)   Procedures for Requesting Review Board Hearing

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

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

(3)   A description of the evidence which tends to support the complaint.
The Chair within three (3) working days from the filing of the application of the grievant, shall determine whether the nature of the grievance is one which may be properly heard by a Review Board.
- If so, the Chair will instruct the parties as to the procedures to be followed in selecting the members of the Review Board and in conducting the hearing (See section d) below).

- If not, the Chair will so notify. The grievant may then request a decision of the full Board of nine members. If the Board, by simple majority, upholds the original decision of the Chair, the grievant and President will be notified and reasons given. If the Board agrees to hear the grievance, the process continues as follows:

- Within ten (10) working days following receipt of a grievance, the Chair will have a Review Board constructed as provided in Section d).

d)   Selection of Review Board Members

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

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

(1)   there is a bona fide conflict of interest between the Review Board members and either of the parties of the grievance;

(2)   the potential Review Board member is ill;

(3)   or service on the Review Board should be excused for good cause shown.

f)   Removal of Review Board Members for Cause

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

g)   Notice to Parties and Review Board of Hearing

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

h)   Duties of the Chair

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

(1)   Assuring that all parties are familiar with the grievance procedures.

(2)   Reviewing the grievance and determining that:

(a)   It is one which is properly heard by a Review Board. (If not, the grievant

shall be so notified in writing.)

      (b)   It has been filed in accordance with Section c).

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

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

i)   <u>Hearing Procedure</u>

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

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

j)   <u>Review Board Findings</u>

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

k)   <u>Time Limits</u>

The time limits described in this formal grievance procedure may be waived or extended with the consent of both parties or the President of the University. *Revised June 2000*

Affirmative Action

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

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

USG Background Check Policy

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

Faculty Personnel Files

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

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

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

1. The documentation of initiated action is filed at the appropriate level nearest the faculty member. For example, a recommendation for or against tenure is filed by the department chair.
2. The final record of action taken is filed at the highest level in the chain of supervision. For example, a recommendation to the Board of Regents for tenure is on file in the Office of the President.
3. Records common to all faculty members are filed in the Human Resources Office. The only exception to this rule is the Annual Evaluation, which is kept in the faculty member's departmental file and the file in the Office of Academic Affairs.

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

correspondence, the faculty member may request in writing that the discretionary material be included. Such a request must be fulfilled within ten working days of receipt of the request.

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

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

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

A complete list of all required documents for Human Resources can be found on the GSW website at http://www.gsw.edu/~hr/NewEmployeeOnlineOrientation/welcome_to_gsw_march_2008.shtml.

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

President's Office

Required

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

Discretionary

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

Office of the Vice President for Academic Affairs

Required

1. Initial offer of appointment to the faculty member
2. Confirmation letter accepting offer of employment
3. Revised curriculum vita which includes employment at GSW
4. Faculty Information Data Form
5. Copy of certification or license, if applicable
6. Transcripts confirming all degrees earned
7. Evaluation of graduate work completed to verify that accreditation (SACS, NLN, NCATE, etc.) criteria have been met
8. Recommendations of personnel actions directed to or from the Vice President for Academic Affairs
9. Confirmation of Board approval of personnel action

Discretionary

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

Academic Dean

Required

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

Discretionary

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

Department Chair/Coordinator

Required

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

Discretionary

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

[1]Faculty Handbook Revisions Policy

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

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

 If it is not clear which committee should consider a proposal it should be submitted to Faculty Affairs, who will forward it, if necessary, to the appropriate committee. A full review of the faculty handbook for completeness, initiated by the Faculty Senate, will begin in the fall of every even-numbered year.

All amendments or changes that originate in faculty committees must be forwarded to the Faculty

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

[1] Approved by GSW Faculty 4/27/2012

[2]Lecturer Faculty

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

[2](Approved by GSW Faculty 12/05/2014)

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

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

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

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

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

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

In no case will the service as lecturer or senior lecturer imply any claim upon tenure or reappointment under other conditions than those above. (BOR Policy manual 8.3.4.3)
The following is the Board of Regents policy concerning non-tenure track professional personnel and is the policy of Georgia Southwestern State University:

1. Individuals employed in non-tenure track positions shall not be eligible for

consideration for the award of tenure.

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

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

[1]Approved by GSW Faculty 12/03/10

Faculty Offices

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

Faculty Absences

Faculty members are expected to meet every class as scheduled by the department chair or academic dean and to participate in academic advising of students. Alterations to this schedule, which may include alternate class times and/or delivery modes under reasonable and limited circumstances, should be approved by the department chair or academic deans if they are not to be recorded as absences. Any faculty member who must miss a scheduled class should have that absence approved in advance by his/her department chair or academic dean whenever possible. Faculty members should avoid being absent from class for personal reasons.

Absences from class should be recorded through OneUSG Connect. Faculty should also follow departmental policy regarding other parties (e.g., department chair) to whom absences should be reported. See sick leave policy on Section IV.

Faculty Released Time for Professional Development

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

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

Faculty Searches

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

Part-Time Faculty

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

Teaching Assistants

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

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

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

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

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

Eligibility: When appointed, the TA must have a minimum G.P.A. of 3.00 and must be a registered, full-time student in good standing throughout the period of appointment.

[3,4]Faculty Development Grants

Based on the recommendations of the Faculty Development Committee, a budget has been established in the Office of the Provost and Vice President for Academic Affairs to award grants for individual faculty development. The Provost and Vice President will receive the proposals and pass them to the Faculty Development Committee. All proposals will be reviewed by this Committee. The chair of the

Committee will compile the results of the review process and submit the results to the Provost and Vice President, who will be responsible for final decisions on funding.

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

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

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

The following guidelines have been proposed by the Faculty Affairs Committee and amended by the [3]Faculty Development Committee (2019, revised 2021):

1. To insure wide distribution of funds, funding is limited to two grants per fiscal year. One proposal per application. If a faculty member is awarded a grant in the spring semester, funds may be used before June 1. Fall semester funds can be used for summer while in the current fiscal year. There is one funded application per semester. If there are many applications and there is not enough funding to fully fund each application, a percentage will be provided across the board for all approved applications. While the faculty member's enthusiasm should not be limited, first-time applicants will take priority in funding over those requesting a second grant in the same fiscal year. An exception to this guideline will be second-time applicants who requested or received $300 or less in the prior application.

2. These funds should be reserved for use when departmental, school, and outside funds are not available.

3. Innovative and original research which is related to a faculty member's teaching discipline is encouraged and supported within reason of available funds. Funds may be used to pay student help, buy <u>small</u> items of specialized equipment, provide copies of hard-to-find literature sources, or cover travel to field sites, libraries, or other such facilities.

4. To encourage growth and professional stature, travel grants will be funded when possible to any recognized professional activity in which the faculty member is a **productive** participant (i.e., an organizer, speaker, society officer, etc.). Passive participation (i.e., as a member of the audience), while encouraged, is not under the faculty development grant program.

5. To assure the wise administration of these funds, a short summary of the funded activity must be sent to the Provost and Vice President for Academic Affairs after completion. Failure to submit a summary will result in not funding future proposals.

6. If the faculty member would like to hire student workers for research projects, please be advised this involves the regular student employment hiring process (i.e. completing a job application, background check, etc.).

7. All changes in the Faculty Development Grants guidelines must be approved by a majority of the faculty at a faculty meeting.

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

1. General Procedure

    a. All Faculty Development Committee members will read the proposals.

    b. Recommend percentage funding for each proposal.

    c. Faculty Development Committee members with applications in review will not vote on their own proposals.

    d. The budget allocated for Faculty Development Grants will be provided to the Committee at the beginning of each fiscal year by the Office of the Provost and Vice President for Academic Affairs.

    e. The Office of the Provost and Vice President for Academic Affairs will notify the Committee in writing of the names and amounts of awards. A brief statement will accompany this notification explaining the rationale for award amounts differing from those recommended by the Committee.

    f. The Committee will provide each applicant denied funding a brief statement explaining the rationale for denial.

2. General Guidelines

    a. Review original guidelines on file with proposals.

    b. Must demonstrate all other funding sources exhausted (department, school, outside grants, etc.)

    c. Results of any previous Faculty Development Grants must be on file with the Provost and Vice President for Academic Affairs.

3. Criteria for Travel Expenses to Professional Conferences

    a. Conference sponsored by recognized professional society or of demonstrated significance.

    b. Conference should be pertinent to applicant's teaching or research field.

    c. Funding is restricted to applicants who are actively participating in conferences (organizer, officer, speaker, etc.).

    d. Includes a detailed budget with brief, itemized justification.

4. Criteria for Attendance at Short Courses at Training Seminars and Workshops

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

5. Criteria for Research Proposals

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

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

5.   Criteria for Funding

The following represent the normal maximum allowed for Faculty Development Grants by category of proposal. The actual amounts awarded are subject to the availability of funds and the recommendations of the Faculty Development Committee.

a. Conference Presentations & Productive Participation

- National & International $1400

- Southeast $1000

- State $600

- Local $200

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

1.   It is imperative that faculty understand that development time does not automatically accrue but will be obtained only after submission and approval of a suitable project. Additionally, faculty must understand that the general needs of the institution or their respective department will be taken into account prior to granting individual development time.

2.   To apply for faculty development time in lieu of teaching, a faculty member must submit a written proposal for a specific activity which will aid his/her development as a professional and/or an educator.

3.   A faculty member may apply for faculty development time in lieu of teaching load typically not to exceed one three or four hour course per academic year, nor three such courses in a three-year period.

4.   Applications should be submitted through the department chair/academic dean for endorsement to the Provost and Vice President for Academic Affairs who, in turn, will solicit the recommendation of the Faculty Development Committee. The Committee will examine the proposal's professional merit and other pertinent information and make recommendations to the Provost and Vice President for Academic Affairs to aid in his/her decision. When necessary, the Committee will solicit the advice of specialists in the area of the proposal. The Provost and Vice President for Academic Affairs, however, will make the final decision as to whether the proposal is approved.

5.   The Provost and Vice President for Academic Affairs enlists the cooperation of academic deans and department chairs in scheduling classes such that time for approved faculty development projects may be made available.

[3] Approved by the General Faculty Fall 2018

[4]Faculty Instructional Grants

The Faculty Instructional Grant (FIG) will provide funding for exceptional one-time purchases of long-term use instructional resources. The Provost and Vice President of Academic Affairs (VPAA) will receive proposals for FIGs from faculty and deliver copies of the proposals to the Faculty Development committee; The Provost and Vice President for Academic Affairs will inform the Committee of the funding level available for the FIGs. The Committee will review all proposals and submit recommendations to the Provost and Vice President for Academic Affairs concerning approval and funding levels for all proposals. The Provost and Vice President for Academic Affairs is responsible for final decisions and notification of approved grants. The deadline for proposals, reimbursement of approved grants and implementation of grants will be set at the discretion of the Provost and Vice President for Academic Affairs. Procedures regarding verification of implementation of grants will be set at the discretion of the Provost and Vice President for Academic Affairs.

The following guidelines apply to the approval of FIG proposals;

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

Family Members in the Workplace

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

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

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

Overview

The material in this section was reviewed by an *ad hoc* committee of faculty from the Faculty Affairs and Academic Affairs Committees, and then reviewed and approved by Faculty Affairs, the Faculty Senate, and the full faculty, after many opportunities for input from the faculty, as defined in this faculty handbook. It also incorporates BOR feedback and comments. It was approved by the full faculty on October 13, 2022. A later draft, incorporating small BOR changes, was endorsed by the Faculty Senate on November 17, 2022.

Throughout this document, "PTR" shall refer to Post-Tenure Review, and should not be confused with pre-tenure review.

For tenure-track faculty, the USG faculty evaluation system is comprised of annual evaluation, three-year pre-tenure evaluation, tenure evaluation, promotion evaluation, and post-tenure evaluation.

For the purpose of annual evaluation, and throughout this document, where the words 'Departments and Colleges,' 'Department or College,' 'Department Chair or Dean,' or similar language is used to assign discretion over a part of the evaluation process, this language should be interpreted as referring to the evaluated faculty member's direct report.

For faculty hired as a lecturer, senior lecturer, instructor, or as an academic professional, the evaluation system is comprised of annual evaluations and promotion evaluation.

Annual Evaluation procedures are defined in an earlier section of this handbook; the remaining components are addressed in the pages which follow. All advancement activities shall be based on the Annual Evaluations from the prior five years, as collected, analyzed, commented on, and presented by the faculty member.

In all stages of review, decision criteria may consist of qualitative and quantitative assessments. Quantitative assessments will be measured utilizing a five-point Likert scale, where 5 is Exemplary, 4 is Exceeds Expectations, 3 is Meets Expectations, 2 is Needs Improvement, and 1 is Does Not Meet Expectations.

"Noteworthy," "outstanding," and "excellent" achievement as referenced in BOR Policy 8.3.7.3 and in this Handbook are reflective of a 4 or 5 on the above Likert Scale. "Satisfactory" as referenced in this Faculty Handbook is reflective of a 3 on this scale. "Deficient" and "Unsatisfactory" as referenced throughout this document is reflective or a 1 or 2 on the above Likert Scale.

Both qualitative and quantitative assessments are acceptable; however, all methods of evaluation should strive for objectivity and reduce subjectivity as much as possible.

Measurement of teaching effectiveness should focus on components related to both instructional quality and quality learning, including assessment of student perception, evidence of effective student learning, the use of continuous improvement methodologies, peer assessment of pedagogy, an evaluation of curricular design, quality of assessment and course construction, and the use of established learning science methodologies.

All phases of faculty evaluation (annual reviews, pre-tenure, tenure, promotion, and post-tenure) will include components related to participation in Student Success Activities and in Faculty Development Activities, as they support the existing pillars of Teaching, Service, and Scholarship. The evaluation must note participation in Student Success Activities and Faculty Development Activities in some combination across the three areas of Teaching, Service, and Scholarship. It is intended for the definitions of "Student

Success Activities" and "Faculty Development Activities" to be broad enough so that individual schools and departments can define and measure them in line with their specific goals and objectives. Generally speaking, "Student Success Activities" is a comprehensive term for faculty effort expended to support the short-and long-term academic and professional success of undergraduate, graduate, and professional students." Likewise, "Faculty Development Activities" is a comprehensive term for faculty effort expended to improve their knowledge in their field, to improve teaching pedagogies, and to improve faculty-student interaction inside and outside the classroom.

All dossiers for pre-tenure review, promotion, tenure, and post-tenure review will be based on scores from all prior faculty Annual Evaluations for the period under review on each of the five areas (Teaching, Service, Scholarship, Student Success Activities, and Faculty Development Activities). If the candidate believes that a rating is justified of "noteworthy" in Teaching and at least two other areas, with a rating of "satisfactory" or better in the remaining two areas, that candidate will proceed to create a dossier with evidence that seeks to support the request for promotion, tenure, or acceptable post-tenure evaluation, as appropriate. Subsequent levels of review by peers and supervisors will focus on evaluating whether these requests are justified or not, and then the reviewer(s) will provide an overall assessment indicating either approval or disapproval with the candidate's request, with reasons explaining why or why not. This assessment and the reasons why will be provided to the candidate at each stage of review within ten business days of making their determination.

Evaluation of the Student Success Activities component will involve an assessment of the faculty member's involvement in activities inside and outside the classroom that deepen student learning and engagement for all learners, together with a growing awareness of, and involvement in, established strategies to improve student completion rates regardless of race, gender, age, or socioeconomic status. These aspects may include effective advising and mentoring; undergraduate and graduate research; other forms of experiential learning; engagement in other high impact practices; the development of student success tools and curricular materials; strategies to improve student career services; and involvement in faculty development activities. Other suggestions related to teaching, service, and scholarship can be found in the Annual Evaluations section of this Faculty Handbook.

All levels of review (pre-tenure up through post-tenure) should include all annual evaluations to date since the last review and are not designed to replace the annual evaluation in the year that these reviews are completed unless specifically noted.

All dossiers prepared for any level of review, other than annual evaluations, shall be assembled using an electronic, online format as prescribed by the Provost / Vice President for Academic Affairs (Provost/VPAA). The Office of Academic Affairs will publish a list of deadlines for submission of dossiers and for each stage of review in early Fall each year.

To ensure that faculty who will be evaluating promotion and tenure dossiers are utilizing consistent thought processes as they review materials, the Office of Academic Affairs will provide professional development opportunities to members of Promotion, Tenure, and Post-Tenure Review Committees.

Rating Expectations

Expectations for each level of review for tenure-track faculty are summarized in this table, and will be addressed in each section below, as applicable:

	Pillars			Activities within pillars	
	Teaching	Service	Scholarship	Student Success Activities (SSA)	Faculty Development Activities (FDA)
Annual Eval	3, 4, or 5	3, 4, or 5	3, 4, or 5	3, 4, or 5	3, 4, or 5
Pre-Tenure	4 or 5	4 or 5 in two of these areas: (Service, Scholarship, SSA, FDA;			

		3, 4, or 5 in the other two areas)	
Promotion		Same as Pre-Tenure	
Tenure		Same as Pre-Tenure	
Post-Tenure		Same as Annual Evaluations	

Lecturer faculty are expected to achieve "noteworthy" in teaching and "noteworthy" in their choice of either Scholarship or Service. Lecturers are neither expected nor required to engage in Student Success Activities or Faculty Development Activities for either Annual Evaluation or promotion. As such, lecturers will only be scored in two of the five areas. The presence of these activities can be used to enhance their evaluations, but the absence of them cannot hurt their evaluations. See pre-tenure review and promotion sections for more details.

	Pillars			Activities within pillars	
	Teaching	Service	Scholarship	Student Success Activities (SSA)	Faculty Development Activities (FDA)
Annual Eval	3, 4, or 5	3, 4, or 5	3, 4, or 5	3, 4, or 5	3, 4, or 5
Promotion	4 or 5	4 or 5 in one of these areas: (Service or Scholarship)		Only used as support for Teaching and choice of Service or Scholarship, but not required	

Pre-Promotion Feedback

Lecturers could choose to go through a three-year pre-promotion review, using the format and process of the pre-tenure review described below, but this is not required.

Tenured faculty who are considering promotion from Associate to full Professor could choose to go through a pre-promotion review using the format and process of the pre-tenure review described below, if the faculty member desires, but this is not required.

The contents, structure, and process of pre-promotion will be the same as pre-tenure.

Pre-Tenure Review

The purpose of pre-tenure review is to assist in the development of excellent faculty who may qualify for tenure. It is intended that the pre-tenure review will help the faculty member understand what they have already accomplished and what they should still accomplish in order to receive favorable consideration for tenure. The pre-tenure review does not produce a decision regarding tenure but should produce a plan that would give the faculty member the best possible chance for favorable consideration for tenure.

The overall evaluation must indicate whether the faculty member is making satisfactory progress toward tenure and promotion (BOR 8.3.5.1).

[1]Approved by GSW Faculty 5/1/2009

Responsibilities

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

Schedule

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

Contents

All contents and decisions related to the pre-tenure review and subsequent promotion decisions shall be based on what is documented in the faculty member's annual evaluations on file, as collected, analyzed, commented on, and presented by the faculty member. As such, it is critical that annual evaluations accurately reflect faculty performance and growth, so that a candidate is not rejected for promotion or tenure decisions despite having strong annual evaluations.

A dossier submitted for consideration of pre-tenure review should include, at a minimum, the following:
   a. Accomplishments relating to achievements in the pillar of Teaching.
      These accomplishments must include student and peer evaluation data. Any participation in Student Success Activities and Faculty Development Activities related to Teaching that the faculty member has engaged in should be noted, as applicable.
   b. Accomplishments relating to achievements in the pillar of Service.
      Any participation in Student Success Activities and Faculty Development Activities related to Service that the faculty member has engaged in should be noted, as applicable.
      Service activities should primarily focus on service to the department, to the college, to the campus, and to the discipline. Activities in each of these areas should be included in review materials. In addition to these types of service, it is recognized that due to our rural location and small community, service to the community through volunteerism is important to the health of our region. For this reason, these activities can be included as an element of service, but cannot be disproportionate to the other areas of service listed. Departments and Colleges will have the primary responsibility for ensuring service is predominately related to the institution and discipline, and for defining how much community service is permitted to count towards the overall service requirement.
   c. Accomplishments relating to achievements in the pillar of Scholarship.
      Any participation in Student Success Activities and Faculty Development Activities related to Scholarship that the faculty member has engaged in should be noted, as applicable.
   d. A current curriculum vita.
   e. A plan for future development activities.
      All materials should relate to the mission of the University, to the mission of the academic unit, and to the achievement of excellence in teaching at the University.

Student Success Activities and Faculty Development Activities will not receive an individual rating within a given pillar, but each of these items must be given an overall cumulative rating as the evaluator looks at activities across the three pillars. These activities will be allowed to count towards both those areas (Student Success Activities and/or Faculty Development Activities) and the pillar under which they are listed. As such, double-counting is allowed for these items, although a single item cannot be counted simultaneously in more than one pillar.

The cumulative activities for both Student Success Activities and Faculty Development Activities across the three pillars must be sufficient to constitute a rating of "satisfactory" or better overall.

A favorable pre-tenure review will consist of a rating of "noteworthy" on the Teaching pillar, and a "noteworthy" on at least two of the four remaining components (Service or Scholarship pillars or Student Success Activities or Faculty Development Activities), with a "satisfactory" or better on the remaining two

components.

Procedure

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

1. During the fall term of the year in which pre-tenure review will occur, the evaluator should communicate to the faculty member that a dossier be prepared that will include the contents listed above.
    If the candidate believes that a rating has been earned of "noteworthy" in Teaching and at least two other areas, with a rating of "satisfactory" or better in the remaining two areas, that candidate will proceed to create a dossier with evidence.
2. A committee of the faculty member's peers shall review the dossier, and, based on scores from the faculty member's three prior Annual Evaluations on each of the five areas (Teaching, Service, Scholarship, Student Success Activities, and Faculty Development Activities), will assign an overall cumulative rating of 1-5 in each area using the established Likert Scale. The committee will then ~~and~~ make recommendations to the evaluator related to the progress made towards tenure and areas in which the faculty member should focus future efforts to strengthen the overall dossier.
3. The committee chairperson will prepare a written summary of peer input to include in the dossier for consideration in the pre-tenure review.
4. The evaluator will schedule a conference with the faculty member and discuss contributions made as of the date of the conference and develop a plan for future accomplishments that will enhance the ability of the faculty member to achieve tenure.
5. The conference must be summarized by the evaluator in writing and presented to the faculty member who must acknowledge by signature. that he/she has been apprised of the content of the third-year pre-tenure evaluation.
6. The written summary must include any steps that the evaluator feels are necessary for the faculty member to complete in order to be considered for tenure, and the full contents will be kept on file in the department or college, with a copy sent to the Provost/VPAA's office.
7. As this pre-tenure process is designed to gather feedback, and does not result in any binding decisions, there is no appeals process should the candidate disagree with the feedback.

Promotion

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

[2]Probationary Credit Towards Promotion

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

[2](BOR Academic and Student Affairs Handbook, 4.5.1)

Promotion Criteria for Tenure Track Faculty

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

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

Under special circumstances, faculty who have probationary credit or are performing significantly above the expectations for their current rank may be considered for "early" promotion. At state universities and state colleges, "early" promotion may only be considered according to the following time table:
- For early promotion from Instructor to Assistant Professor, faculty must have served a minimum of three years as an instructor.
- For early promotion from Assistant Professor to Associate Professor, faculty must have served a minimum of three years as an Assistant Professor – the faculty member may submit documentation at the beginning of the fourth year as an Assistant Professor.
- For early promotion from Associate Professor to Full Professor, faculty must have served a minimum of three years as an Associate Professor – the faculty member may submit documentation at the beginning of the fourth year as an Associate Professor.

For promotions from Assistant Professor to Associate Professor, and from Associate Professor to Professor, documentation should begin from the date of application for the current rank (as opposed to the effective date of the new rank.)

There is an approval process to be considered for "early" tenure and promotion. This process is outlined in the Eligibility section under Promotion and Tenure Procedures. Please review and follow this procedure for any request for an exception to the above stated timeline.

[3] (BOR Policy 8.3.6-Approved by BOR 07/29/2014)

2. While the cumulative record will be considered, it is required that accomplishments be significant in each rank before progressing to the next higher rank.

3. Length of service in the University shall be considered in promotions; however, longevity of service will not guarantee promotion.

[4] Approved by GSW Faculty 12/03/10

[5] **Promotion Criteria for Lecturers**

1.   Rank: Lecturers who have served six years within the University may apply for promotion to Senior Lecturer. Candidates for Senior Lecturer do not require the terminal degree for their discipline.

2.   Lecturer faculty are expected to achieve "noteworthy" in teaching and "noteworthy" in their choice of either Scholarship or Service for promotion purposes. Lecturers are neither expected nor required to engage in Student Success Activities or Faculty Development Activities for either Annual Evaluation or promotion. As such, lecturers will only be scored in teaching and either service or scholarship. Because of the value to teaching and the overall mission of the institution, Student Success Activities and Faculty Development Activities performed by the Lecturer within the Teaching or Scholarship/Service pillars should be given special note. The presence of these activities can be used to enhance their promotion documentation, but the absence of them cannot hurt their promotion documentation.

3. Lecturers are allowed to change their area of focus between Scholarship and Service. The cumulative record for the three pillars of achievement will be considered. Years of service spent focused on noteworthy performance in the pillar of Scholarship will be taken into consideration if the lecturer switches to focusing on noteworthy performance in the pillar of Service as the basis of meeting the

criteria for promotion. Years of service spent focused on noteworthy performance in the pillar of Service will be taken into consideration if the lecturer switches to focusing on noteworthy performance in the pillar of Scholarship as the basis of meeting the criteria for promotion. Lecturers should inform their evaluator at the time of an annual review of their intention to switch focus in the following evaluation period.

4. Under special circumstances, faculty who are performing significantly above the expectations for Lecturer may be considered for "early" promotion. For early promotion from Lecturer to Senior Lecturer, faculty must have served a minimum of three years as a Lecturer. The approval process to be considered for "early" promotion is outlined in the Eligibility section under Promotion and Tenure Procedures. Please review and follow this procedure for any request for an exception to the above stated timeline.

[5] Approved by GSW Faculty 12/03/10

Tenure

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

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

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

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

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

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

1. The requirements listed below shall be the minimum standard for award of tenure, but they are to be sufficiently flexible to permit an institution to make individual adjustments to its own peculiar problems or circumstances. These policies are to be considered a statement of general requirements which are capable of application throughout the System and are not a limitation upon any additional standards and requirements which a particular institution may wish to adopt for its own improvement. Such additional standards and requirements, which must be consistent with the Regents' policies and

approved by the Board of Regents, shall be incorporated into the statutes of an institution. (BOR Policy Manual 803.9 A.)

2. Tenure resides at the institutional level. Institutional responsibility for employment of a tenured individual is to the extent of continued employment on a one hundred percent workload basis for two out of every three consecutive academic terms until retirement, resignation, separation as remedial action related to post-tenure review, dismissal for cause, or release because of financial exigency or program modification as determined by the Board. (BOR Policy 8.3.7.2, adopted by BOR 10/13/21)

3. Normally, only assistant professors, associate professors, and professors who are employed full-time (as defined by Regents' policies) by an institution are eligible for tenure. Faculty members with adjunct appointments shall not acquire tenure. The award of tenure is limited to the above academic ranks and shall not be construed to include honorific appointments. (BOR Policy Manual 803.9 C.)

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

4. Tenure may be [1]applied for at the beginning of the fifth year of the five-year probationary period of full-time service at the rank of assistant professor or higher. The five-year period must be continuous except that a maximum of two years interruption because of a leave of absence or part-time service may be permitted, provided, however that an award of credit for the probationary period of an interruption shall be at the discretion of the President. In all cases in which a leave of absence, approved by the President, is based on birth or adoption of a child, or serious disability or prolonged illness of the employee or immediate family member, the five-year probationary period may be suspended during the leave of absence. A maximum of three years' credit toward the minimum probationary period may be allowed for service in tenure-track positions at other institutions or for full-time service at the rank of instructor or lecturer at the same institution. Such credit for prior service shall be approved in writing by the president at the time of the initial appointment at the rank of assistant professor or higher. Notwithstanding anything to the contrary in this Policy Manual, in exceptional cases an institution president may approve an outstanding distinguished senior faculty member for the award of tenure upon the faculty member's initial appointment; such action is otherwise referred to as tenure upon appointment. Each such recommendation shall be granted only in cases in which the faculty member, at a minimum, is appointed as an associate or full professor, was already tenured at a prior institution, and brings a demonstrably national reputation to the institution (BR Minutes, 1983-84, p. 94; May, 1996, p. 52; April 2000, pp. 31-32). If the person is being appointed to an administrative position and has not previously held tenure, the award of tenure must be approved by the Chancellor. (BOR Policy Manual 803.9 D.)

[1]Approved by GSW Faculty 5/1/2009

5. Except for the approved suspension of the probationary period due to a leave of absence, the maximum time that may be served at the rank of assistant professor or above without the award of tenure shall be seven years, provided, however, that a terminal contract for an eighth year may be proffered if a recommendation for tenure is not approved by the president. The maximum time that may be served in combination of full-time instructional appointments (instructor or professorial ranks) without the award of tenure shall be 10 years, provided, however, that a terminal contract for the 11th year may be proffered if a recommendation for tenure is not approved by the president (BR Minutes, 1992 - 93, p. 188; April 2000, pp. 31-32). (BOR Policy Manual 803.9 F.)

6. Except for the approved suspension of the probationary period due to a leave of absence, the maximum period of time that may be served at the rank of full-time instructor shall be seven years (BR Minutes, April 2000, pp. 31-32). (BOR Policy Manual 803.9 G.)

7. Tenure or probationary credit towards tenure is lost upon resignation from an institution, or written resignation from a tenured position in order to take a non-tenured position, or written resignation from a position for which probationary credit toward tenure is given in order to take a position for which no

probationary credit is given. In the event such an individual is again employed as a candidate for tenure, probationary credit for the prior service may be awarded in the same manner as for service at another institution.

8. Upon approval of the award of tenure to an individual by the president, that individual shall be notified in writing by the president of their institution, with a copy of the notification forwarded to the University System chief academic officer. (BOR Policy Manual 803.9 I.)

Tenure Criteria

The criteria for the awarding of tenure are the same as the criteria for the awarding of promotion.

Promotion and Tenure Procedures

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

Eligibility

It is the responsibility of each individual faculty member to keep their file complete, to provide the academic unit head with all information relevant to the criteria for promotion and tenure, and to be aware of eligibility at all times through periodic (at least annual) discussion with the academic unit head. If, at any time, a faculty member has a question about eligibility, they should schedule a conference with the Provost/ VPAA to discuss this matter, once they have received approval from their department chair and/or dean. If, after the conference, the faculty member is not clearly eligible according to policies, or wishes to go up for "early" promotion, they may file a formal written request with supporting data to the Provost/ VPAA that they be declared eligible. The Provost/ VPAA will review the data and render a decision with copies to the academic dean and to the President. The faculty member must make the request in sufficient time to be considered with all other school faculty. Being declared eligible for tenure or promotion does not ensure that a faculty member will be tenured or promoted.

Contents

All contents and decisions related to promotion and/or tenure shall be based on what is documented in the faculty member's annual evaluations on file, as collected, analyzed, commented on, and presented by the faculty member. As such, it is critical that annual evaluations accurately reflect faculty performance and growth, so that a candidate is not rejected for promotion or tenure decisions despite having strong annual evaluations.

A dossier submitted for consideration of promotion and/or tenure review should include, at a minimum, the following:
a. A cover sheet or sheets as prescribed by the Provost/ VPAA.
b. Accomplishments relating to achievements in the pillar of Teaching.
    These accomplishments must include student and peer evaluation data. Any participation in Student Success Activities and Faculty Development Activities related to Teaching that the faculty member has engaged in should be noted, as applicable.
c. Accomplishments relating to achievements in the pillar of Service.
    Any participation in Student Success Activities and Faculty Development Activities related to Service that the faculty member has engaged in should be noted, as applicable.
    Service activities should primarily focus on service to the department, to the college, to the campus, and to the discipline. Activities in each of these areas should be included in review

materials. In addition to these types of service, it is recognized that due to our rural location and small community, service to the community through volunteerism is important to the health of our region. For this reason, these activities can be included as an element of service, but cannot be disproportionate to the other areas of service listed. Departments and Colleges will have the primary responsibility for ensuring service is predominately related to the institution and discipline, and for defining how much community service is permitted to count towards the overall service requirement.

d. Accomplishments relating to achievements in the pillar of Scholarship.
   Any participation in Student Success Activities and Faculty Development Activities related to Scholarship that the faculty member has engaged in should be noted, as applicable.
e. A current curriculum vita.
f. A summary of annual evaluations
g. A plan for future development activities.
h. Any other information which the faculty member wishes to have reviewed in the process.

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

The faculty member's annual evaluations will be utilized as part of this review, and this review will use the same rating system as is used on annual evaluations.

Student Success Activities and Faculty Development Activities will not receive an individual rating within a given pillar, but each of these items must be given an overall cumulative rating as the evaluator looks at activities across the three pillars.

The cumulative activities for both Student Success Activities and Faculty Development Activities across the three pillars must be sufficient to constitute a rating of "satisfactory" or better overall.

A favorable promotion and/or tenure review will consist of a rating of "noteworthy" on the Teaching pillar, and a "noteworthy" on at least two of the four remaining components (Service or Scholarship pillars, Student Success Activities, or Faculty Development Activities), with a "satisfactory" or better on the remaining two components.

The sections relating to Teaching, Service, and Scholarship should include an executive summary or abstract which describes the documentation that will follow and which provides an overview of accomplishments.

While the cumulative record will be considered, it is required that accomplishments be significant in each rank before progressing to the next higher rank.

Length of service in the University shall be considered in promotions and tenure; however, longevity of service will not guarantee promotion or tenure.

Procedure

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

The dossier should be viewed by the faculty member as an opportunity to do two things:
1. Showcase the activities which make that faculty member a valuable addition to GSW and to the department and college, and which effectively prepare students for life after college, and
2. Illustrate how the faculty member is taking feedback from peers, managers, and students and

becoming a better teacher as a result.

The following steps will ensure that promotion and tenure reviews are conducted in an orderly fashion and in a manner that will be most helpful to the development of the faculty member being reviewed and to the needs of the University.

1. During the fall term of the year in which promotion and/or tenure review will occur, the evaluator will communicate to the faculty member that a dossier should be prepared that will include the contents listed above.

    All dossiers for pre-tenure review, promotion, tenure, and post-tenure review will be based on scores from their five prior Annual Evaluations on each of the five areas (Teaching, Service, Scholarship, Student Success Activities, and Faculty Development Activities). If the candidate believes that a rating is justified of "noteworthy" in Teaching and at least two other areas, with a rating of "satisfactory" or better in the remaining two area, that candidate will proceed to create a dossier with evidence that seeks to support the request for promotion and/or tenure, as appropriate.

2. The chair of each department or the Dean of each college will establish a peer review committee, which will review the dossier first. In colleges where departments do not exist, the first review will be by the college-wide review committee described in step 4.

3. The departmental peer review committee will make a written recommendation to the department head clearly for approval or clearly for disapproval, with sufficient comments to justify the decision, and a copy of this letter will be sent to the faculty member for inclusion in the dossier.

4. The department head will review the complete dossier and the recommendation of the departmental review committee and make a written recommendation to the college-level review committee clearly for approval or clearly for disapproval with sufficient comments to justify the decision. If recommendation is for disapproval, the letter will provide suggestions on what the faculty might do if intending to reapply at a future point. The dossier of each faculty member initially considered will be forwarded to the academic dean whether or not the recommendation is for approval unless the faculty member decides to withdraw the dossier from the process.

5. The dossier, along with departmental peer review committee recommendations and department head recommendations, will be reviewed by the college peer review committee appointed by the dean of each school. In the case of the Library, the Dean of Library Services will appoint the peer review committee.

6. For each dossier received, the college peer review committee will make a written recommendation to the respective academic deans (or Dean of Library Services) insuring that there is a recommendation clearly for approval or clearly for disapproval with sufficient comments to justify the decision. A copy of this letter will be sent to the faculty member for inclusion in the dossier.

7. For each dossier received, the Deans will consider all previous recommendations for their respective units and make a recommendation to the Provost/VPAA clearly for approval or clearly for disapproval with sufficient comments to justify the decision. A copy of this letter will be sent to the faculty member for inclusion in the dossier. All dossiers will be forwarded to the Provost/ VPAA whether the recommendation at any level is for approval or not unless the faculty member decides to withdraw the dossier from the process.

8. The Provost/ VPAA will present all dossiers to the Institution-wide Committee on Promotion and Tenure for review. The Institution-wide Committee will be composed of tenured faculty preferably of professor rank, elected to two-year terms by the faculty of each college. There will be two members from the College of Arts and Sciences and one from each of the other colleges.

9. The Institution-wide Committee will make a written recommendation to the Provost/ VPAA clearly for

approval or clearly for disapproval of each case under consideration with sufficient comments to justify the decision, and a copy of this letter will be sent to the faculty member for inclusion in the dossier.

10. The Provost/ VPAA will review all dossiers and the recommendations from each level and make a recommendation to the President on each case being considered clearly for approval or clearly for disapproval with sufficient comments to justify the decision, and a copy of this letter will be sent to the faculty member for inclusion in the dossier.

11. The President will consider all dossiers and recommendations at each level before making a decision to approve or disapprove. If the decision is in opposition to prior levels of review, the President shall make sufficient comments to justify the decision.

12. After each step in the review process, the appropriate committee chair or unit head must inform each applicant reviewed whether or not the faculty member has been recommended. An applicant will receive a copy of the recommendations at each level of review and be given the opportunity to continue without response, to respond in writing to the reasons given by the reviewer that led to a "no" decision, or to withdraw the application. Response letters may only be submitted to review feedback through step 7 of the process defined above, and these letters may be added to the dossier immediately following the reviewer's letter in that section of the dossier. Copies of the feedback from reviewers shall be amended to the electronic document at each stage by the faculty member, for review by the individuals at the next stage. Other than to include copies of these letters and these specific response letters, no changes to the content of the dossier sent to the first level of reviewers shall be allowed.

13. Any faculty member who is aggrieved concerning promotion or tenure may appeal by the following procedure.

    a. Write a letter to the academic dean appealing the action and stating that the letter is an appeal that the individual wishes to be considered without prejudice. Also, they must specifically identify the matters to be considered and why. This must be submitted within ten business days after announcement of the promotion or tenure recommendations forwarded to the Board of Regents by the President.

    b. Provide with the letter the material referred to in the "Contents" section immediately above, or the URL link to the electronic document.

    c. The academic dean may write a letter of endorsement, may write a letter of explanation, or may pass it to the Provost/ VPAA without comment.

    d. The appeal will be referred by the Provost/ VPAA to an Institution-wide Committee on Promotion and Tenure Appeals for consideration. The appeals committee shall be appointed by the President, and will consist of different members from those who did the initial review in steps 8 and 9 above. The committee will review the materials, prior recommendations, appeal documentation from the faculty, and shall make their recommendation, submitting it to the Provost/Vice President for Academic Affairs.

    e. The Provost/ VPAA will consider the appeal, comments of the academic dean, and the recommendation of the Institution-wide Committee in making a recommendation to the President.

    f. The President will consider all the materials mentioned in paragraph e. above in making a decision. The President's decision will be final for this institution. The President will notify the candidate of this decision with copies to the Provost/ VPAA and academic dean.

    g. If the faculty member is not satisfied with this decision, they may appeal to the Board of Regents in accordance with the Policies of the Board of Regents.

Post-Tenure Review

Purpose

The post-tenure review (PTR) process shall support the further career development of tenured faculty members as well as ensure accountability and continued strong performance from faculty members after they have received tenure. The primary purpose of the of the post-tenure review process is to assist faculty members with identifying opportunities that will enable them to reach their full potential for contribution to the academic discipline, institution, and the institution's mission. PTR is intended to provide a longer-term and broader perspective than is usually provided by an annual review. The review should be both retrospective and prospective, encouraging a careful look at possibilities for different emphases at different points of a faculty member's career. (BOR Policy 8.3.5.4, adopted by BOR 10/13/21)

Relationship to Present Reviews

The University presently provides several reviews of faculty performance after faculty members are awarded tenure. These include the annual performance review, review for promotion to higher professorial ranks after receipt of tenure, plus review of faculty for special professorships and special faculty awards.

Coverage

All tenured faculty who have rank and tenure with an academic unit must undergo PTR five years after the award of tenure and subsequently every five years unless it is interrupted by a further review for promotion to a higher rank (Associate/Full Professor) or academic leadership position (e.g. department chair, Dean, Associate Provost).

A faculty member may voluntarily elect to go up for a PTR earlier than the scheduled review (such as in year four). This enables a faculty member to take full advantage of the feedback and insight provided by their colleagues at a strategic moment in their career, rather than having to wait for the usual five-year cycle, Early PTR should include a review of the faculty member's accomplishments, based on their annual evaluations, since they were last evaluated for tenure or a previous PTR, whichever was most recent.

If the faculty member has a successful early review, the next PTR will be five years from the early PTR date. If the faculty member is unsuccessful, the five-year PTR review date remains in place, and the faculty member will need to resubmit the next year.

Responsibility for Review

The PTR will be conducted by a committee of faculty peers (the "PTR committee") with the composition determined by academic unit policy, which has been approved by the Provost's office. It is recommended that the policy have units elect committees from their faculty. The committee should be composed of at least three tenured faculty members, all of whom must be able to render a fair and objective assessment of the faculty member without the reasonable perception of a conflict of interest.

Criteria for Review

The PTR will be based on the same criteria listed in the faculty handbook in the section entitled Faculty Evaluations. In case of faculty whose primary responsibility is teaching, special emphasis should be placed on activities to improve teaching performance during the period covered by the review. A faculty member whose primary responsibility is teaching should show continual improvement in that area.

All contents and decisions related to the PTR shall be based on what is documented in the faculty member's annual evaluations on file, as collected, analyzed, commented on, and presented by the faculty

member. As such, it is critical that annual evaluations accurately reflect faculty performance and growth, so that a candidate is not rejected for promotion or tenure decisions despite having strong annual evaluations.

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

1. An up-to-date curriculum vita or resume.
2. Copies of the faculty member's annual evaluations for the years covered by the review.
3. A maximum two-page summary prepared by the faculty member of their accomplishments for the period under review. This may be a narrative, bulleted points, charts, or any combination of formats.
4. Projected goals of the faculty member for the next five-year period.
5. Other documentation specified by the academic unit head.

Requirements for Review

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

In any review in which the committee finds any area of performance, including participation in Student Success Activities or Faculty Development Activities, is unsatisfactory because of major, severe, or chronic deficiencies, the committee shall indicate that the performance is unsatisfactory and identify the reasons why the performance is unsatisfactory.

The committee must provide a written summary of its findings and any recommendations for faculty development to the department head (if applicable) and the Dean.

If the faculty member reports to a department head, the recommendations of the review committee shall be sent to the department head, who will review all documents presented and forward to the Dean a letter which either agrees with the committee, or disagrees, with reasons supporting either decision.

The Dean will review the documentation provided by the faculty member and comments from the PTR committee and department head and make a written determination as to whether or not the faculty member is maintaining adequate progress since the last review, with comments to justify the decision.

The Dean is responsible for transmitting this written summary to the department head and to the faculty member, and discussing its contents with the faculty member. The Dean must sign the document indicating that they have discussed it with the faculty member. The faculty member must sign the report indicating that they have received the document and discussed it with the Dean.

In cases where the faculty member being reviewed is a department head, the responsibilities of the unit head in the PTR will be exercised by the academic dean. The faculty member may prepare a written response to the report of the review committee. A copy of the committee's report and any written response to them by the evaluated faculty member will then be sent to the administrative head at least one level above the faculty member's administrative unit. The same material should also be placed in the faculty member's personnel file at the administrative unit level. The administrative unit head shall also preserve in the faculty member's personnel file all documents that played a substantive part in the review other than documents (such as publications) that are readily available elsewhere.

Faculty Development

Following PTR and based on the recommendation of the review committee, the Dean and the faculty member will prepare a plan for continued development of the faculty member leading up to the next PTR.

Satisfactory Performance

If the faculty member has a successful PTR, the next PTR will be five years from the PTR date.

Unsatisfactory Performance

In the event of a PTR or Corrective Post-Tenure Review (CPTR – see Remediation and Appeals Process under the Annual Evaluation) that does not meet expectations or needs improvement, the faculty member's appropriate supervisor(s) and faculty member will work together to develop a formal Performance Improvement Plan (PIP – as defined below at the end of this section) in consultation with the PTR committee based around the deficiencies found by the committee.

It should be noted that, while the PRP (to address Annual Evaluation deficiencies) and the PIP (to address PTR deficiencies) have similar contents and similar processes, they are distinct items, and a faculty member could be placed under both simultaneously.

Consistent with the developmental intent of the PTR, the PIP must be designed to assist the faculty member in achieving progress towards remedying the deficiencies identified in the PTR. The PIP must contain (1) clearly defined goals or outcomes, (2) an outline of activities to be undertaken, (3) a timetable, which is typically a maximum of one year, (4) available resources and supports, and (5) an agreed-upon monitoring strategy. The PIP's goals or outcomes must be reasonable, achievable with the timeframe, and reflective of the essential duties of the faculty member. The PIP must be approved by the Dean and submitted to the Provost's Office for approval. Formal meetings for assessing progress on the PIP should be scheduled no less than twice during the Spring semester (once around mid-term and again near the end of the term) and once during the Fall semester (around mid-term) to assess progress and to discuss next steps if sufficient progress is not being made towards successful completion of the requirements of the PIP.

The final assessment of the PIP will occur in conjunction with the next year's annual review. If the conditions of the PIP have been fully met at the end of the year, the faculty will move back to good standing, and the next PTR will occur in five years.

Failure to successfully remediate the identified deficiencies, or demonstrate substantive progress towards remediation, after one year under a PIP subjects the faculty member to disciplinary actions up to and including, but not limited to, reallocation of effort, salary reduction, tenure revocation, and dismissal from the university. If the unit head and the dean do not agree on their assessment of sufficient progress in performance, the provost will make the final assessment. The president will make the final determination on behalf of the institution regarding appropriate remedial action.

If the remedial action is separation from employment, the faculty member has a right to request a final faculty hearing for the purpose of confirming that due process was followed in reaching the decision of separation of employment. The outcome of the faculty hearing will not be binding, but only advisory to the President who will make the final decision. The procedures of this final faculty hearing will be governed by the procedures found in Post-Tenure Review in the Academic and Student Affairs Handbook 4.7.

Formal meetings for assessing progress on the CPTR should be scheduled no less than twice during the Spring semester (once around mid-term and again near the end of the term) and once during the Fall semester (around mid-term) to assess progress and to discuss next steps if sufficient progress is not being made towards successful completion of the requirements of the CPTR.

The final assessment of the CPTR will occur in conjunction with the next year's annual review. If the conditions of the CPTR have been fully met, the faculty will move back to good standing, and the next PTR will occur in five years.

Due Process Following an Unsuccessful PTR, CPTR, or PIP.

If the faculty member disagrees with the final decision of the Dean following a PTR, CPTR, or a PIP, they shall be entitled to appeal the decision utilizing the following process.

The faculty member has ten business days from receiving the decision of the Dean to request an appeal, in writing to the Dean. Upon request to review the recommended action by the faculty member, further due process will include the following:

1. Upon receipt of the appeal from the faculty member, the Dean shall appoint a three-member committee of the faculty member's peers (the "appeals committee"), two of which are selected by the Dean, and one of which is selected by the faculty member. None of these members shall be from the group that made the initial recommendation in the review process.

2. The appeals committee will review the recommendation(s) of the original PTR committee, the department chair, and Dean, and all documentation collected through the process, and may exercise its judgment as to whether an in-person hearing is necessary. The appeals committee may alternatively determine that a review of documentation is sufficient. Following the review, the appeals committee will issue its recommendations in support of either the Dean (performance is unsatisfactory) or the faculty member (performance is satisfactory), and this will be communicated to the Dean, the faculty member, and the Provost/VPAA in a letter within twenty business days of the request for review by the faculty member.

3. If the appeals committee decides against the faculty member (PIP or CPTR conditions were not fulfilled), the faculty member may appeal in writing within ten business days to the Provost/VPAA's office. The Provost/VPAA will follow the same procedure as the appeals committee and render within ten business days a decision in favor of the appeals committee (performance is unsatisfactory) or in favor of the faculty member (performance is satisfactory). This decision will include an explanation of the factors considered in reaching that decision. Copies of this document will be kept by the Dean, the faculty member, and the Provost/VPAA's office. The decision of the Provost/VPAA's office cannot be further appealed.

4. If the decision of the Provost/VPAA is dismissal of the faculty member, the faculty member may complete their faculty assignment for the current semester at the discretion of the institution; however, the semester during which a final decision is issued will be the last semester of employment in their current role.

5. An aggrieved faculty member may seek discretionary review of the institution's final decision pursuant to Board policy on Applications for Discretionary Review (6.26).

Academic Administrators

In the case of tenured faculty members whose primary assignment is administration without major teaching responsibilities (defined as teaching being less than 50% of their assigned work load), that faculty member shall be subject to the evaluation procedures for senior-level administrators. When that person returns to a position where the major responsibility is teaching (defined as teaching being greater than 49% of their assigned work load), they will be subject to PTR, with the first review to take place no later than five years after returning to the faculty position. Librarians who do not hold administrative positions will be reviewed on the same schedule as a faculty member whose major responsibility is teaching. This process will be initiated by the administrator's direct supervisor.

Academic administrators who hold faculty rank and are tenured at the institution aligned with an academic unit will undergo a comprehensive evaluation every five years. It is intended that an academic administrator's annual and comprehensive evaluation include a review of traditional faculty activities (teaching, research, student success, and service) that align with the responsibilities of the administrator, along with a review of activities related to their administrative functions, with input from members at all

levels of interaction throughout the university. This will include a review by faculty members in their area. To get this input, the Provost/VPAA will email a link to an anonymous survey which allows faculty to provide evaluative feedback on the performance of their administrators. These results will be sent to Human Resources by Institutional Technology once the survey closes. HR will be responsible for ensuring there is no identifiable information prior to sending the results to the Provost/VPAA to share with the respective administrators. This material is reflected in the administrators' annual review, and PTR when appropriate.

Other Provisions

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

Elements of the Performance Remediation Plan (PRP) and the Performance Improvement Plan (PIP)

There are two different plans for addressing faculty performance: a *performance remediation plan* and a *performance improvement plan*. For faculty who do not meet annual performance expectations a *performance remediation plan* is put in place. The purpose of this plan is to scaffold faculty growth and development, strengthen tenure and promotion possibilities. The second, a *performance improvement plan,* is developed subsequent to an unfavorable PTR or corrective PTR. The components of the PIP and the PRP plans must include the following:

1. Clearly defined goals or outcomes,
2. An outline of activities to be undertaken,
3. A timetable,
4. Available resources and supports,
5. Expectations for improvement, and
6. A monitoring strategy.

Performance Remediation Plan (PRP)

The PRP is used to document faculty deficiencies based on the outcomes from the annual review. The purpose of the PRP is designed to enable the faculty member to correct unsatisfactory performance in some aspect of their role or responsibilities. The plan must be approved by the Dean and submitted to the institution's Office of Academic Affairs or Human Resources wherever the permanent faculty files are housed. Two meetings during Spring semester (once around mid-term and again near the end of the term) and once during Fall semester (around mid-term) must be held to review progress, and to document additional needs/resources and intended accomplishments for the upcoming quarter. After each meeting, the academic administrator should summarize the meeting and indicate if the faculty member is on track to complete the PRP. Consequences for failure to meet the expectations of the PRP must be stated at the conclusion of each meeting.

More details related to the processes involved in the PRP, including appeals, are provided in the Faculty Evaluation section of this handbook.

Performance Improvement Plan (PIP)

The PIP is used to document deficiencies based on an unfavorable PRP (for untenured tenure-track faculty members), CPTR, or PTR. The plan must be approved by the Dean and submitted to the institution's Office of Academic Affairs or Human Resources (wherever the permanent faculty files are housed.) Two meetings during Spring semester (once around mid-term and again near the end of the term) and once during Fall semester (around mid-term) must be held to review progress, and to document

additional needs/resources and intended accomplishments for the upcoming time period. After each meeting, the academic administrator should summarize the meeting and indicate whether the faculty member is on track to complete the PIP. At the conclusion of the academic year, the faculty member's progress will be determined by the department chair and dean after taking into account feedback from a committee of faculty colleagues.

More details related to the processes involved in the PIP, including appeals, are provided above in the P&T section of this handbook above.

Implementation of these changes

Annual Evaluations
Pending approval of this new language in Fall 2022, the expectation of Student Success Activity and Faculty Development Activity participation, as a part of annual evaluation processes, will begin in Spring 2023. The Faculty Evaluation performed in Spring 2023 will utilize the old standards; the Faculty Evaluation in Spring 2024 will utilize the new standards after a full calendar year of working under the new standards.

Pre-Tenure, Promotion, Tenure, and Post-Tenure Reviews
Faculty members who are creating portfolios/dossiers in Fall 2023 or Fall 2024 shall be given the option of using the old expectations or using the new expectations. Faculty members who are creating portfolios/dossiers starting in Fall 2025 will utilize the new expectations.

IV Faculty Welfare (Committee on Faculty Affairs)

Payroll Payments

For payroll information, please refer to the Policies and Procedures Manual found at the following URL or contract the Payroll Supervisor;
https://www.gsw.edu/human-resources/

Holiday, Sick Leave and Miscellaneous Leave Policy

**for complete Sick Leave and Miscellaneous Leave policies, please refer to the Human Resources Policies and Procedures Manuel found at the following URL; https://www.gsw.edu/human-resources/

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

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

Employees may utilize accrued sick leave for the following reasons:

- Illness or injury of the employee.
- Medical and dental treatment or consultation.

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

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

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

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

(1) Faculty are responsible for informing their Chair of any illness that prohibits them from meeting their assigned responsibilities in instruction, research, and service.

(2) In reporting sick leave, academic year faculty will report leave based on the number of whole hours sick as defined by the BOR Policy 802.08, with a full day being eight (8) hours, a half day being four (4) hours, and less than a half day based on whole hours missed, with a full week being the equivalent of a forty-hour workweek.

(3) Nothing in this policy shall be interpreted to indicate that faculty work on a standardized schedule.

(4) A faculty member who, by agreement with the department chair or academic dean, continues to perform their teaching and advising duties during a time of stay-at-home illness (as, for example, by moving instruction and advising online) shall not be required to report sick leave.

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

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

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

Leave of Absence. An employee who receives orders for active military duty shall be entitled to absent himself or herself from their duties and shall be deemed to have a leave of absence with pay for the period of such ordered military duty, and while going to and returning from such duty, not to exceed a total of eighteen (18) work days in any one calendar year and not exceeding eighteen (18) work days in

any one continuous period of absence. At the expiration of the maximum paid leave time, continued absence by the employee shall be considered as military leave without pay. The employee shall be required to submit a copy of the orders to active duty.

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

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

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

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

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

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

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

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

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

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

Leaves for Professional Personnel

Leaves of absence of one year or less with or without pay may be granted by the institution's president

and reported to the Chancellor. Extensions of such leaves, or the initial granting of leaves of more than one year, require the approval of the Chancellor or his/her designee. (BOR Policy Manual 802.0804)

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

Retirement - Teachers' Retirement System or Regents' Retirement Plan

**For up to date information on Teachers' Retirement System or Regents' Retirement Plan, please refer to the Human Resources Policies and Procedures Manuel found at the following URL; https://www.gsw.edu/human-resources/

Workers' Compensation Insurance

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

Social Security ***For up to date information on Social Security, please refer to the Human Resources Policies and Procedures Manuel found at the following URL or contact the Director of Human Resources;* https://www.gsw.edu/human-resources/

Group Insurance Plans

Health Insurance. ***For up to date information on Health Insurance, please refer to the Human Resources Policies and Procedures Manuel found at the following URL;* https://www.gsw.edu/human-resources/

Dental Insurance. ***For up to date information on Dental Insurance, please refer to the Human Resources Policies and Procedures Manuel found at the following URL or contact the Director of Human Resources for specific plan administrators;* https://www.gsw.edu/human-resources/
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Life Insurance. ***For up to date information on Life Insurance plans, please refer to the Human Resources Policies and Procedures Manuel found at the following URL or contact the Director of Human Resources for specific plan administrators;* https://www.gsw.edu/human-resources/

Cancer and/or Intensive Care Insurance. ***For up to date information on Cancer and/or Intensive Care Insurance, please refer to the Human Resources Policies and Procedures Manuel found at the following URL or contact the Director of Human Resources for specific plan administrators;* https://www.gsw.edu/human-resources/

Vision Insurance ***For up to date information on Vision Insurance, please refer to the Human Resources Policies and Procedures Manuel found at the following URL or contact the Director of Human Resources for specific plan administrators;* https://www.gsw.edu/human-resources/

Short Term and Long Term Disability Plans ***For up to date information on Long Term Disability and Short Term Disability Plans, please refer to the Human Resources Policies and Procedures Manuel found at the following URL or contact the Director of Human Resources for specific plan administrators;* https://www.gsw.edu/human-resources/

OWN-Georgia's Own Credit Union (formally known as Doco Credit Union)

Available to employees thru payroll deduction. OWN-Georgia's Own Credit Union offers GSW employees free services through convenient payroll deduction such as On-line check-cashing, payroll direct deposit, checking/savings accounts, Christmas/Vacation accounts, auto loans, signature loans, student loans, home mortgages. The main office is located in Albany, Georgia. A branch office is located in Americus on Tripp Street, 229-924-5475. www.georgiasown.org

Flexible Benefits Reimbursement Accounts ***For up to date information on Flexible Benefits Reimbursement Accounts, please refer to the Human Resources Policies and Procedures Manuel found at the following URL or contact the Director of Human Resources for specific plan administrators;* https://www.gsw.edu/human-resources/
Health Savings Accounts ***For up to date information on Health Savings Accounts, please refer to the Human Resources Policies and Procedures Manuel found at the following URL or contact the Director of Human Resources for specific plan administrators; https://www.gsw.edu/human-resources/*

Unemployment Compensation Insurance ***For up to date information on Unemployment Compensation Insurance, please refer to the Human Resources Policies and Procedures Manuel found at the following URL or contact the Director of Human Resources for specific plan administrators;* https://www.gsw.edu/human-resources/

Faculty Travel

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

Private Automobile Travel Allowance

Private automobile travel allowance is dictated by state policy, as well as reimbursement for meals. Employees are entitled to reimbursement for breakfast expenses if they depart prior to 6:30 a.m., and for dinner expenses if they return later than 7:30 p.m. Receipts for meals are not required, and the per diem is based on the city you were in. A travel approval form must be approved by the faculty member's department chair prior to departing from campus. Upon return from such an authorized trip, the faculty member must complete the online travel and expense module reimbursement, giving mileage and any other allowable expenses incurred during the trip. It is expected that reservations will be made in advance whenever practical, that minimum rate accommodations available will be utilized, that "deluxe" hotels and motels will be avoided, and that commercial rates will be obtained whenever possible. Receipts for lodging expenses must be attached to the expense statement. Each person on a travel status must file a separate travel approval form and expense statement. The Hotel/Motel Excise Tax Exemption form must be used when traveling on authorized trips within the State of Georgia.

Printing Services

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

Mail Service

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

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

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

   Any outgoing mail for the afternoon must be delivered to the Campus Post Office by the departments/schools no later than 4:00 p.m. or to the Wheatley Administration Building no later than 11:00 am. Bulk mailings are by special arrangement with the Campus Post Office.

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

Telephone Service

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

Faculty Parking and Automobile Registration

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

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

   Faculty members are required to respond to Public Safety parking citations. Payment may be made or an appeal filed at the Public Safety office. Citations are due and payable within 3 class days after the citation issue date. Citations not paid within 30 days of the citation issue date will be classified as delinquent fines. The accounts will be forwarded to the Business Office for collection. This may include the withholding of the faculty member's next paycheck.

Financial Exigency Policy, University System of Georgia

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

[1] **Intellectual Property Policy**

Intellectual Property Policy for Georgia Southwestern State University –[1] Passed by Faculty Affairs 2/24/12

1. Purpose:

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

2. Definitions:

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

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

3. Determining ownership of IP.

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

The university is expected to provide a certain level of tangible support to a faculty member. This level

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

A) Sole ownership by an individual creator:

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

B) Co-ownership by co-creators:

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

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

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

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

4. Administration of the IP policy.

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

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

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

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

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

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

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

Because the university's share in the income from a piece of IP results from the creative work of its employees, a substantial amount of the income should be employed stimulating additional creative work. As a guideline, any university income up to $500,000 per year should be used to support research, innovation, or new teaching materials and initiatives instigated by faculty members. Existing Faculty Development Grants or Faculty Instructional Grants, for example, might be enhanced, or new ways of supporting the creative work of faculty, students, and staff might be created. Of the funds thus dedicated, 15% should be allotted to the creator's department (or departments, if there is more than one creator, in proportion to their ownership of the IP. An additional 15% should be allotted to the school(s) or division(s) of the creator(s) in the same way. The remaining 70% should be administered at the university level. Annual income above $500,000 reverts to the general budget of the university.

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

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

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

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

Non-Discrimination Against Students With Disabilities

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

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

<u>On Accommodation Requests that Involve Significant Restructuring of Courses</u>

Generally speaking, the accommodation process should proceed according to the following steps:
Step 1: Student submits accommodation request to the Director of Accommodations and Access;
Step 2: Director of Accommodations and Access and student engage in interactive process to finalize the accommodation request, and the Director of Accommodations and Access will consult the professor as needed*; and **Step 3:** Director of Accommodations and Access makes accommodation decision based on that process.

*Accommodation requests that involve significant restructuring of courses, including but not limited to conversion of face-to-face courses to online (or vice versa), require a meeting between the relevant faculty member and Director of Accommodations and Access before implementation. This is to determine whether such request would substantially alter essential elements of the course or program, and if so, whether alternate accommodations are appropriate. This meeting should take place before such accommodation is offered to the student. If, after this meeting, the instructor believes the accommodation to be requested would substantially alter essential elements of the course or program, they must submit this in writing to the Director of Accommodations and Access within two business days of the meeting. The Director must then respond within three business days of receipt with a final accommodation decision.

Policy Statement on a Drug Free Campus

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

- provide continual guidance and support to ensure that the 1989 amendments (Part 86) to the "Drug-Free Schools and Campuses Act" regulations are being followed.

- develop a strategic plan for GSW on ATOD issues. This will include the assignment of sub-committees to accomplish strategic plan tasks.

- forward any recommendations or modifications in any current GSW drug/alcohol/tobacco policies to the President.

- establish and assess the Student Assistance Program to educate and provide interventions to students who violate current GSW alcohol, tobacco, and other drug policies as well as any federal, state or local laws.

- oversee the general education of the campus community in relation to policies, laws, and risks associated with ATOD use including programming, classes, seminars, and workshops

- collaborate with GSW's chapter of the BACCHUS Peer Educators to provide quality educational programming in the areas of alcohol, tobacco, and other drugs for the campus community

- provide training for task force members and peer educators on ATOD issues

- provide financial support for GSW education and prevention programs.

- assess the university environment surrounding perceptions and use of ATOD using a variety of instruments such as the CORE survey

- collaborate with members of the community to ensure a community approach to ATOD education

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

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

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

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

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

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

Policy Statement on Sexual Harassment

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

What is Sexual Harassment?

Sexual harassment is an unwelcome advance, request for sexual favors and other *verbal or physical conduct of a sexual nature when:*
1. submission to such conduct is made either explicitly or implicitly a term of condition of an individual's employment;

2. submission to or rejection of such conduct by an individual is used as a basis for employment decisions affecting that individual; or

3. such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile, or offensive work environment

Sexual Harassment can take many forms including:

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

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

First, make it clear to the harasser that his or her behavior is unwelcome, and firmly request that it be stopped. It is all too common for someone accused of sexual harassment to say, "I didn't realize that she/he would be offended by that." Whatever the intent, however, the effect of harassment can be devastating. Sensitivity to the impact of one's actions on others is essential

Reporting Procedures

If you feel you are a victim of sexual harassment, you should bring your concerns to your supervisor or the University's Affirmative Action Officer in the Human Resources Department.
The earlier you report it, the earlier University officials can investigate your concerns. You are assured that any complaint will be handled confidentially and fairly. No reprisal or retaliation will occur because of the report of an incident of suspected sexual harassment. Any information gathered during the

investigation will be kept separate from the employee's personnel file. Information will be disclosed on a need-to-know basis in order to investigate and resolve the
matter. The seriousness of this type of complaint dictates that each incident be examined impartially and resolved promptly

Grievance Procedures

Refer to the GSW Personnel Policies and Procedures Manual located in the Department of Human Resources at this URL; https://www.gsw.edu/human-resources/ or contact a Human Resources representative.

Preventing Sexual Harassment

All faculty, supervisors, and administrators who are employed by the University are obligated to take appropriate action to prevent sexual harassment. Any behavior that might be construed as sexual harassment, including apparently consenting sexual relationships with subordinates or students, is to be avoided. All members of the University community should educate themselves about the range of behavior included within the definition of sexual harassment. Departments are urged to hold their own discussions of the policy. Training sessions will be arranged through the Affirmative Action/Human Resources Department

Responsibility of Supervisors

Supervisory personnel have special responsibilities regarding sexual harassment. Supervisors are charged with promoting and maintaining an atmosphere that properly deters sexual harassment. Supervisors are expected to actively discourage all behaviors that might be construed as sexual harassment as stated in this policy.

Penalties for Sexual Harassment

Each incident will be handled on a case-by-case basis. Any employee who is found to have engaged in inappropriate conduct or harassment of another employee or student will be subject to appropriate action, according to the severity of the incident up to and including termination of employment.

**GSW's policy on sexual harassment can be found in the Human Resources Policies and Procedures Manual found at the following URL; https://www.gsw.edu/human-resources/

Required Information Provided on Course Syllabus

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

1. Major objectives of the class.

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

3. The amount of material to be covered.

4. The faculty member's policy on absences to include the effect of absences on the student's final

grade.

5. A statement regarding students with disabilities: - "A student requesting classroom accommodations or modifications due to a documented disability must notify me within the first two weeks of the semester. If the student has not already done so, he or she must contact the Office of Disability Services located in room 302 of Sanford Hall. The phone number is 229-931-2661."

6. A statement concerning the GSW Academic Integrity Policy and the punitive actions you will take if violations occur.

7. Campus Carry (HB 280). This exact statement *can be included* in the syllabus, *but is not required to be*.

Do not change or alter this official statement in any way;

House Bill 280, commonly known as the "campus carry" legislation, is effective as of July 1, 2017. Listed below are links to the new law (which amends O.C.G.A. 16-11-127.1); guidelines developed by the University System of Georgia Office of Legal Affairs on how all University System of Georgia campuses are to implement the law; and additional information from the University System of Georgia, which includes answers to frequently asked questions.

To view the University System of Georgia's website dedicated to this legislation, go to USG House Bill 280 Website (http://www.usg.edu/hb280).
For answers to commonly asked questions, go to Additional information about House Bill 280 (http://www.usg.edu/hb280/additional_information)
Additional questions should be directed to GSW Public Safety Department by phone at (229) 931-2245 or at public.safety@gsw.edu.

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

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

Family Educational Rights and Privacy Act (FERPA)

1. Georgia Southwestern State University is covered by the Family Educational Rights and Privacy Act of 1974 (FERPA), as amended, which is designed to protect students' rights in regard to education records maintained by the institution. Under the Act, students have the following rights:
    a. the right to inspect and review education records maintained by the institution that pertain to them;
    b. the right to challenge the content of records (except grades which can only be challenged through the Grade Appeal Process) on the ground that they are inaccurate, misleading or a violation of their privacy or other rights; and
    c. the right to control disclosures from their education records with certain exceptions.
2. Any student who is or has been in attendance at Georgia Southwestern State University has the right to inspect and review his or her educational records within a reasonable period of time (not to exceed 45 days) after making a written request. However, the student shall not have access to:

a. Financial records of parents.

b. Confidential letters of recommendation placed in record prior to January 1, 1975.

c. Letters of recommendation concerning admission, application for employment or honors for which the student has voluntarily signed a waiver.

3. Directory information will be treated as public information and be generally available on all students and former students, at the discretion of the university. Directory information includes the student's name; GSW email address; major field of study; dates of attendance; degrees, honors and awards received; class level, and full or part time status. Participation in officially recognized sports; height, weight, age, home-town and general interest items of members of athletic teams is also included in Directory Information.

4. Requests for Education Records should be made in writing to the Registrar, Georgia Southwestern State University. "Education Records" means generally any record maintained by or for Georgia Southwestern State University and containing information directly related to the students' academic activities.

5. Students who challenge the correctness of student educational records shall file a written request for amendment with the Registrar. The student shall also present to the Registrar copies of all available evidence relating to the data or material being challenged. The Registrar shall forward the information to the custodian of the record who will consider the request and shall notify the student in writing within 15 business days whether the request will be granted or denied. During that time, any challenge may be settled informally between the student, or the parents of a dependent student and the custodian of the records, in consultation with other appropriate University officials. If an agreement is reached it shall be in writing and signed by all parties involved. A copy of such agreement will be maintained in the student's record. If an agreement is not reached informally or, if the request for amendment is denied, the student shall have the right to challenge through the Grievance Procedure outlined in the Student Handbook.

6. Release of protected information in the student's educational record without consent will be allowed to:

a. Institutional personnel who have a legitimate educational interest.

b. Officials of other schools where the student seeks to enroll. Efforts will be made to notify the student of the release of such information.

c. Representatives of Federal agencies authorized by law to have access to education records, and state education authorities.

d. Appropriate persons in connection with a student's application for or receipt of financial aid.

e. State and local officials to whom information must be released pursuant to a state statue adopted prior to November 19, 1974.

f. Organizations conducting studies for the institution.

g. Accrediting organizations.

h. Parents of a dependent student, as determined by the Internal Revenue Code of1954, as amended.

i. Persons necessary in emergency situations to protect health and safety.

j. Persons designated in subpoenas or court orders.

7. If a request for Education Records is not covered by the Annual Disclosure Statement provided by the Registrar, the written request for release of information should be submitted to the Registrar and contain the following information:

      a.   Specific records to be released.

      b.   Reasons for such release.

      c.   To whom records are to be released.

      d.   Date.

      e.   Signature of the student.

8. Records will be released in compliance with a judicial order or lawfully issued subpoena. However, reasonable efforts will be made to notify the student in advance of compliance.

9. Students have the right to obtain copies of official transcripts provided all financial obligations to the University have been met. Students will be charged at the prevailing rate for each certified transcript obtained. Copies of other information in the student's education record will be provided at a cost of $0.25 per page of copy.

10. Students who feel that their rights have been violated under the provisions of the Family Educational and Privacy Act should write to the following office: Department of Education, 330 Independence Avenue, SW, Washington, D.C. 20201.

11. Georgia has an Open Records Act. All records kept by Georgia Southwestern State University, except those protected by the Family Educational Rights and Privacy Act of 1974, are subject to public open records requests. Requests for public open records should be submitted in writing to the Director of Human Resources, Georgia Southwestern State University.

[1]GSW Faculty Consulting Policy

Recognizing that teaching, research and public service are the primary responsibilities of USG faculty members, it is reasonable and desirable for faculty members to engage in additional activity beyond duties assigned by the institution, which are professional in nature and based in the appropriate discipline for which the individual receives compensation during the contract year.

I. For ten month employees the maximum amount of time that faculty can consult during regular work hours is one day per week. Twelve month faculty assigned to administrative positions must take annual leave when engaged in consulting during their normal work hours consistent with the USG procedures governing the use of annual leave. If you are consulting for, or teaching for, the USG you need to follow the joint staff agreement guidelines as can be found in Human Resources.

II. You must adhere to current guidelines 4.13 and 4.15 on appropriate use of Information Technology resources (GTA Policy PS-08-003.01) https://www.gsw.edu/campus-life/resourcesinformation/studenthandbook/computer-and-network-usage-policy#4.15

III. Faculty engaging in outside activities for compensation must have the written approval of their supervisor, Dean, and the Provost/VPAA. Approval will not be granted if there is a conflict of interest with the current position. The decision to grant approval can be appealed to the next level in the chin of command.

IV. A plan for reimbursing the institution for use of the institution's personnel, facilities, equipment and or materials must be approved by the faculty members immediate supervisor, Dean, and the provost/VOAA or her/his designee. The rats of compensation must be consistent with rates charged to outside groups or persons.

[1]Approved by the General Faculty (November 30, 2019)

VI. Academic Affairs Policies (Committee on Academic Affairs)

Policy on Academic Integrity

Responsibility of Community Partners for Upholding the Values of Academic Integrity

Responsibility of the Faculty Member:

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

Responsibility of the Student

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

[1]Academic Dishonesty

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

Plagiarism

Plagiarism includes, but is not limited to, asking someone to write part or all of an assignment, copying someone else's work (published or unpublished), inadequately documenting research, downloading material from electronic sources without appropriate documentation, or representing others' works or ideas as one's own. Artificial intelligence (AI) plagiarism occurs when products created by generative AI technology (example: ChatGPT) are misrepresented as original student work. However, the faculty have the freedom to create educational assignments that use generative AI, with the provisions that this technology use must be explicitly authorized and accompanied by instructions for work attribution (AI generated versus student work).

Cheating on Examinations

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

occurred in one section but not in another.

Unauthorized Collaboration

Unauthorized collaboration includes giving or receiving unauthorized help for work that is required to be the effort of a single student, such as the receiving or giving of unauthorized assistance in the preparation of a laboratory or writing assignment, on-line exams, etc. Unauthorized collaboration includes giving your GeorgiaVIEW or GoVIEW login credentials to anyone; these credentials are for your use only (see also GSW Computer and Network Acceptable Use Policy section 4.7.1 Sharing of Access).

Falsification

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

[1]Approved by General Faculty, April 29, 2016

[2]Revised Process for Resolving Academic Dishonesty Issues (Approved April 29, 2016)

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

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

Faculty Reporting

If an instructor discovers a case of academic dishonesty, he or she may impose whatever penalty is deemed appropriate by the faculty member, given the standards and expectations shared with students in that course (including but not limited to rewriting assignments, failure on the assignment, or failure in the course). The faculty member's syllabus policies will establish how the violation will be handled in his or her own classroom if the student does not contest that a violation has occurred. In addition, the faculty member's syllabus policies will establish how the violation will be handled in his or her own classroom if the Faculty-Student Conduct Board confirms that a violation has occurred.

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

The Coordinator of Student Rights and Responsibilities will keep on file all Academic Integrity Violation Report forms. When a new report is received, the Coordinator of Student Rights and Responsibilities will review the record to determine if the student has any other academic integrity violations on file. A first violation will be filed, but no action will be taken by the University unless the student chooses to dispute that a violation has occurred. If a student disputes that a first violation of this policy has occurred or the student has more than one violation on file, the Coordinator of Student Rights and Responsibilities will

call for a hearing of the Faculty-Student Conduct Board, and the faculty member may be asked to submit further documentation of the violation. All hearings of the Academic Integrity Board will be held in accordance with the due process procedures as specified in GSW's Conduct Code.

The Faculty-Student Conduct Board first responsibility in a hearing is to determine if a violation of the academic integrity policy has occurred. In cases where a student is exonerated of accusations of academic dishonesty by the Faculty-Student Conduct Board, the student may appeal the faculty member's penalty through the regular grade appeal process. If the Faculty-Student Conduct Board determines the student to be in violation of the academic integrity policy and it is the student's first violation, no further action will be taken by the Coordinator of Student Rights and Responsibilities. If the Academic Integrity Board determines the student to be in violation of the academic integrity policy and the Student Conduct Officer informs the Board that the student has previously violated the academic integrity policy, then the Board may consider recommending further sanctions. Recommended sanctions may be educational, such as assignments which require the student to research the topic of academic integrity or speaking to the UNIV 1000 classes about academic integrity, or may include probation, suspension, or expulsion. The Faculty-Student Conduct Board will provide in writing its recommendations on the case and sanction recommendations to the Vice President for Academic Affairs within five business days of the hearing.

The Vice President for Academic Affairs will notify the faculty member, who referred the case, of the Faculty Student Conduct Board's recommendations, including any University sanctions imposed, within five business days, excepting any days when the Vice President of Academic Affairs is travelling on university business. After this communication with the faculty, the Vice President for Academic Affairs will issue the final outcome letter to the student, with a copy to the faculty, as well as any other appropriate academic records file, within five (5) days following the communication with the faculty. If sanctions include suspension or expulsion, the student's Department Chair or Dean will also be notified. A student may not withdraw from the course in which an accusation has been made during the student conduct process. Students accused of academic dishonesty are entitled to the due process rights outlined in the Conduct Policy. A student has the right to appeal the Vice President of Academic Affairs' decision to the President of the University.

[2]Approved by General Faculty on 04/30/2016

[3]Procedures for Faculty to Report Disruptive Classroom Behavior by Students

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

[3] Approved by General Faculty on 04/30/2010

Class Rolls/Class Size

Class Rolls

Federal Financial Aid policy requires institutions to verify student attendance and to return aid for students who do not attend during the verification period. Failure to accurately report student attendance can cost the institution tuition dollars, and it can negatively impact the student's financial aid. Faculty members are responsible for accurately verifying and reporting attendance/participation by the verification deadline determined and announced by the Registrar's Office. Verification of attendance/participation is reported in RAIN using the midterm grade form. Instructors must also report to the Registrar's Office the names of any students not on the midterm grade list who are attending/participating in class.

Students who are not verified as attending will be administratively withdrawn from the course and will not receive financial aid to pay for the course, but will still be obligated to pay for the course. Students who are attending but not verified will also not receive financial aid for the course

Class Size

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

Grading System

Undergraduate: https://www.gsw.edu/registrar/bulletin/Undergraduate/2022-23-undergraduate.pdf

Graduate: https://www.gsw.edu/registrar/bulletin/Graduate/graduate-2021-2022.pdf

[4]GSW Credit Hour Policy

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

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

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

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

Assignment of Grades

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

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

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

1. The award of final grades to students for academic work represents an essential element of academic freedom. When an academic administrator is asked to review or change a grade which represents the substance of a genuinely academic decision, the administrator must give great deference and weight to the professional judgment of the faculty member awarding the grade.

2. A faculty member must have the widest range of discretion in making judgments regarding the academic performance of a student and in determining the student's entitlement to a final grade for academic work.

3. An academic administrator may not override or change a grade unless it is a substantial departure from accepted academic standards and practices. Any changes of grade can be made only after a reasonable attempt has been made at consultation with the faculty member who originally assigned the grade.

4. A faculty member who wishes to appeal the decision of an academic administrator to override or change a final grade may appeal that decision in writing through levels of supervision.

Incompletes

An "I" indicates that the student was doing satisfactory work and had completed most of the course requirements, but was unable to complete the course before the end of the term due to unforeseen non-academic reasons, such a serious accident or illness during the last week of the term. If the deadline to withdraw without penalty has passed and a substantial amount of the course requirements are outstanding, the student may appeal for withdrawal for non-academic reasons, but should not be given an incomplete. The individual faculty member assigning the "I" must document the work to be completed. A completed copy of the form *"Incomplete Grade Assignment,"* along with an explanation of what work must be completed before a grade can be assigned must be submitted to the academic dean/department chair at the time a grade of Incomplete (I) is assigned, and a copy must be attached to the "Change of Class Grade" form when the "I" is cleared.

A faculty member who assigns a grade of "I" must submit a "Change of Class Grade" form before the end of

the   following term whether or not the student is enrolled; otherwise, the incomplete will be recorded as "F". An extension for completing an incomplete beyond one term may granted by the Vice President for Academic Affairs at the written request of the instructor. The extension must be requested prior to the end of the term of original extension. .

Policy for University Sanctioned Events

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

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

Student Absence Policy for Ordered Military Duty

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

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

Roll Verification

It is the responsibility of the faculty member to document student absences/non-participation during the roll verification period published by the Registrar's Office. Each instructor will carefully note attendance/participation on the roll verification form in RAIN by the published deadline and will notify the Registrar's Office on any changes in attendance/participation after the verification period. When teaching online, it is the responsibility of instructors to require a level of participation by students that would allow the instructor to confidently determine if a student should be counted as having "attended" or "participated" in the course. The syllabus should clearly indicate what it is a student must do to be verified

Instructors are also expected to correct any errors in the roll verification and respond quickly to inquiries made by the Registrar's Office concerning student attendance. Failure to do so can result in serious consequences for students and for the institution

Please note the following:
- Students who attend/participate in none of the classes for which they are registered during the verification period and who do not inform their instructors of their intentions to remain in their courses will be administratively withdrawn from the University and accrue no charges. .
- Students who attend/participate in some of their courses during the verification period, but not all, will be withdrawn from courses for which they have been verified by the instructor as not attending/participating and may lose any financial aid for the course they might have otherwise been eligible for and be financially responsible for paying for some portion of the courses they have not attended.
- No refunds will be issued for nonparticipation withdrawals unless it results in a

complete withdrawal from the University.

Attendance/Participation Policy

At the beginning of each semester, every faculty member will distribute a course syllabus and that clearly states his or her attendance or participation policy. Attendance policies may be more appropriate in face-to-face or hybrid classes, while participation may be more appropriate for online classes. Attendance policies need not be punitive in nature. Faculty may instead offer positive incentives, such as extra points added to the grades of students who attend all classes. Students often have responsibilities that compete with their academic responsibilities, so faculty members should consider having a process for excusing absences for reasonable causes. Faculty members should also take account of the policy on Roll Verification when crafting their individual attendance or participation policies. Regardless of what a faculty member's attendance policy is, they are obliged to honor University Sanctioned Absences granted by the Office of Academic Affairs.

Final Examination Schedule

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

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

Textbooks

Textbook orders should be turned in to the Campus Bookstore by department heads and are due on the dates determined by the Campus Bookstore.

Textbook adoptions may be submitted online through Follett Discover in GeorgiaView. The bookstore will confirm each order once it is received. Copies of department orders may be requested by the Vice President for Academic Affairs.

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

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

Desk copies of a textbook should be ordered from the publisher by the department. Desk copies can be purchased from the Campus Bookstore, but the department will be charged the retail price. A

signed internal requisition must be submitted to the bookstore at the time of the purchase. If the book is returned to the bookstore in saleable condition before midterm of the term in which it was purchased, a credit memo will be issued for the full amount. Requisition forms and desk copy forms may be obtained from the academic dean or department chair.

Instructional Materials

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

Adoption of a New Course or a New Program- A new undergraduate program proposed by a school or department must be approved by the Committee on Academic Affairs. A new graduate program proposed by a school or department must be approved by the Committee on Graduate Affairs. The new program will then be presented through the Faculty Senate for consideration by the entire faculty. Programs approved by the faculty must be submitted to the Chancellor for action by the Board of Regents. New undergraduate and graduate courses proposed by any school or department must be presented to the Committee on Academic Affairs and Committee on Graduate Affairs respectively, and when it pertains to teacher education programs, to the Committee on Teacher Education.

Policies and Procedures of the Committee on Academic Affairs

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

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

 III. The Committee's policies and procedures:

1. An electronic copy of requests to add a course or program, to revise a course or program, or to deactivate a course or program must be sent to the CAA Chair at least 10 days prior to a scheduled meeting; request forms may be found at https://www.gsw.edu/academic-affairs/committee/. One hard copy of any proposal, containing all necessary signatures, should also be sent to the CAA chair; this is the official copy of the proposal. Only the head of an academic or administrative unit may submit proposals; individual faculty may not submit course or program proposals except through their unit head. Proposals for the addition of new programs must be submitted to the Deans' Council prior to submission to the CAA. Proposals that constitute a substantive change under GSW's Substantive Change Policy must be submitted to and approved by GSW's SACSCOC Accreditation Liaison prior to submission to the CAA.
2. The CAA Chair distributes electronic copies of the proposals, along with an agenda and minutes of the previous meeting, to the Committee members.
    a. Proposals are sent to committee members at least one full work-week before the meeting in order for the members to consider them carefully. This procedure may be suspended item by item by majority vote at the meeting.
    b. Copies of the proposals, agenda, and minutes are sent to each school Dean prior to each meeting.

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

Distance Education Policy

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

accepted by the Southern Association of Colleges and Schools (SACS). This statement details the areas of good practice to which the University is committed.

DEFINITION:

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

CURRICULUM AND INSTRUCTION:

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

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

FACULTY SUPPORT:

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

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

STUDENT SUPPORT:

The University is committed to providing distance education students with the same range of student services it provides to traditional classroom students, including admissions, financial aid, academic advising, and delivery of course materials, and placement and counseling. The University also provides adequate means for resolving any complaints that distance education students may have https://www.gsw.edu/student-handbook/complaint-and-grievance-procedures/ . The University provides students with advertising, recruiting, and admissions information that adequately and accurately represent the programs, requirements, and services available.

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

LIBRARY AND LEARNING RESOURCES:

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

COMMITMENT TO SUPPORT:

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

EVALUATION AND ASSESSMENT:

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

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

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

COMPUTER-ENHANCED INSTRUCTION:

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

GeorgiaVIEW LMS Technical Support Policy
 (in part VI. Academic Affairs Policies (Committee on Academic Affairs) of the Faculty Handbook)

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

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

Instructional Technology offers online tutorials and workshops on GaVIEW D2L. These tutorials and workshops cover the various tools available to help organize and manage a course, including file transfer, quiz management, posting course notes, managing students and use of the grade book. Instructors are welcome to bring any items they need incorporated into their courses.
It is the faculty member's responsibility to set up and maintain their course. This includes but is not limited to: putting up course content, creating quiz modules and posting other instructional material. Instructional Technology will work with faculty members to ensure that they have the ability to perform these duties. Instructional Technology will also provide one-on-one training as needed.

Support for GaVIEW D2L is available on a 24x7 basis via the D2L Help Center:
https://d2lhelp.view.usg.edu/ (DHC). The DHC link is available on the GaVIEW Home page. The Center is

designed to answer all questions regarding GaVIEW D2L from a Designer, Instructor, or Student perspective. This service can be accessed anytime, from anywhere. The on-line support center has technicians standing by to answer questions online via online chat or phone. They also have an extensive knowledge base that offers information and solutions for commonly asked questions or frequent problems encountered by GaVIEW users.

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

There are also Desire2Learn tutorials available after logging in to GaVIEW including the following on-line courses:
- D2L Self Paced Tutorial for faculty
- D2L Student Tutorial for students

Information for help from GSW is also available via e-mail at gaview@gsw.edu. This email address is active during normal business hours.
Instructional Technology offers technical support by phone and email and will work with faculty members to resolve any problems they encounter with GaVIEW D2L. The contact information is as follows:
Contact: Alla Yemelyanov
Phone: 229-931-2969 or 229-931-2074
Email: gaview@gsw.edu

[5]Substantive Change Policy

Under SACSCOC policy as of March 17, 2021, a substantive change is a significant modification or expansion of the nature and scope of an accredited institution. Substantive change includes high-impact, high-risk changes and changes that can impact the quality of educational programs and services.

If an institution is in non-compliance with SACSCOC *Substantive Change Policy and Procedures*, its accreditation may be in jeopardy.

Substantive changes, some of which are required by federal regulations, include:
- Substantially changing the established mission or objectives of the institution.
- Relocating an institution or an off-campus instructional site of an institution (including a branch campus).
- Offering programs at a higher or lower level than currently authorized.
- Changing the way an institution measures student progress, whether in clock hours or credit hours; semesters, trimesters, or quarters; or time-based or non-time-based methods or measures.
- Adding a program that is a significant departure from the existing programs that were offered when the institution was last evaluated.
- Adding a method of delivery that is a significant departure from the existing methods that were offered when the institution was last evaluated.
- Adding a method of delivery to a currently offered program.
- Entering into a cooperative academic arrangement.

- Entering into a written agreement under 34 C.F.R § 668.5 under which an institution or organization not certified to participate in the title IV Higher Education Act (HEA) programs offers less than 25% (notification) and or 25-50% (approval) one or more of the accredited institutions programs.
- Adding competency-based education programs.
- Adding programs with completion pathways that recognize or accommodate a student's prior or existing knowledge or competency.
- Awarding dual or joint academic credentials.
- Reopening a previously closed program or off-campus instructional site.
- Adding a new off-campus instructional site/additional location including a branch campus.
- Closing an institution, a program, a method of delivery, an off-campus instructional site, or a program at an off-campus instructional site.

Procedure: Any academic or administrative unit at GSW that plans to implement a change to an academic program that will be a substantive change as defined above must have the change reviewed and approved by GSW's SACS-COC Liaison before submission to either the Committee on Academic Affairs or the Committee on Graduate Affairs and then, if approved, the faculty senate and the general faculty. There are two types of SACSCOC substantive change procedures: notification and approval. Notifications are for less substantive types of change and require only a notification to SACSCOC prior to implementation. Approvals require a vote of the SACSCOC Board of Trustees which meets twice a year in June and in December. There are firm deadlines for submission of prospectuses for both board meetings: December 31 for the June meeting and June 30 for the December meeting. Therefore, a substantive change, such as the addition of a program that is a significant departure from existing programs, would need to be approved by GSW processes and USG processes in time for the June Board meeting for an August implementation. Academic and Administrative units need to consult GSW's SACSOC Liaison to determine what type of substantive change they are contemplating. Any proposed substantive change forms must be signed by GSW's SACSCOC Liaison before submission to the appropriate faculty committee(s).

Approved by the General Faculty-May 07, 2021

Records Retention Policy for Faculty

1.   Key principles of confidentiality for student records.
 a)   The Family Educational Rights and Privacy Act (FERPA) states that student information must be kept confidential. In short, faculty can discuss a student's grades privately with each individual student, but are not allowed to share grades with the student's friends, family members, or other students. Students must sign a waiver form before grade information can be shared with parents or guardians.

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

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

 d)   Information that must be kept confidential includes (but is not limited to):
- Grades and coursework: Exams, term papers, and projects.
- Records of daily attendance.
- Personal information: Addresses, telephone numbers, email, and student ID numbers.

2.   Storage of student records: The need for confidentiality requires that records must be retained,

stored, and destroyed in a secure manner. The goal is to prevent possible breaches of confidentiality.

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

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

3.   Communication of student records.

a)   An individual student's grades can be communicated to him/her through:
- Paper records handed directly to the student.
- The grade book features of password-protected course management systems (example: GeorgiaView).
- The email feature of course management systems (example: GeorgiaView).
- Online educational systems that are password-protected (examples: Turnitin.com, LiveText).

b)   The following means of communication are insecure, therefore, unacceptable:
- Posting grade lists on an office door is insecure. Even when names are not used, students may be able to determine the grades of other students. Do not post lists of student grades on paper in public places.
- Sharing grades over the telephone is insecure because there is no way to verify the identity of the person to whom one is speaking.
- Unofficial email addresses (example: hotmail.com or yahoo.com email addresses) are insecure because there is no way to verify the identity of the people who own these email addresses.

4.   Retention of student records.

a)   GSW policy on student coursework records (e.g., exams, home work, term papers, quizzes, etc.) is that these materials should be retained for at least one term after completion of the course except for grades that are contested.
- Reference: Page 110, #38 of the USG Records Retention Series A.

b)   For program assessment, grade and other coursework information can be retained for the period of assessment without identifying information.

c)   If grades are contested, the coursework records must be retained until the grade dispute is resolved.
- Reference: Page 110, #38 of the USG Records Retention Series A.

d)   Final grades will be stored by the Registrar's Office. There is no need for faculty to keep long-term records of final grades. These records should not be retained by faculty members.
Reference: Page 107, #26 of the USG Records Retention Series A.

5.   Destroying student records.

a)   When the retention policy has expired (see #4 above), all student records in the faculty member's possession should be destroyed.
- Electronic records: These should be deleted from the computer hard drive or the network drive.
- Paper records: These should be destroyed through shredding.

b)   Grades and other student records that are stored on the GeorgiaView system should be destroyed in accordance with the GeorgiaView and online learning policy.

c)   Records in other proprietary systems (e.g., turnitin.com) are governed by user agreements. For example, students who submit papers to turnitin.com agree to turnitin.com's privacy agreement.
- turnitin.com's privacy pledge
- turnitin.com's statement on legality, ethics, and FERPA compliance

6.   Access to records and computer networks.
a)   Records and other sensitive data must be preserved in locations that cannot be accessed by students, student workers, and the general public.

b)   Classroom computers: Steps should be taken to prevent students and other unauthorized users from accessing computers and the network.
- Faculty should log off or shut down classroom PCs when the class is finished. Leaving classroom PCs on and logged into the network makes network resources available to students and other unauthorized users.
- Empty classrooms should be locked whenever possible to prevent unauthorized access.

c)   Faculty offices: Faculty should lock their offices when they are not present in order to prevent possible access to confidential material.

7.   Miscellaneous records that need to be secured.

a)   Advisement records that contain student grades
- Any electronic files (example: spreadsheets) and paper records (example: midterm grade reports) used for advisement should be maintained similarly to course materials described above.
- Midterm grade reports should be used to identify advisees who are struggling. Reports should be destroyed through shredding.

- Advisee information on forms such as graduation checklists should be periodically reviewed for old or outdated files. Old electronic files and paper records should be destroyed.

 b)	Other records that should be treated in the same manner as course data (secure storage of electronic and paper documents) include:
- Scholarship and award applications
- Job candidate records (e.g., letters of reference, grade transcripts)

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

Comprehensive Program Review of Academic Programs

Overview

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

- To elicit informed judgments about how well an academic unit is performing given its collective resources.

- To make projections about emerging opportunities and the ways a unit may best take advantage of those opportunities.

- To assess how well a unit is implementing its strategic plan.

- To ensure that the unit has a strategic plan and is implementing its plan.

In addition, the CPR process assists academic units in maintaining high academic quality and stimulates change that enhances the unit's performance. When done well, the process is both an honest evaluation of current circumstances and a candid dialogue about future possibilities and mutual commitments. The discussion and thought invested in the process leads to actions designed to increase the value of the unit's contributions to undergraduate and graduate education, to the disciplines and professions through the generation of new knowledge, and to society through application of knowledge and outreach.

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

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

- The number of full-time faculty members is adequate to support the mission of the unit and to ensure the quality and integrity of its academic programs

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

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

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

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

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

- The unit's curricula are designed so that students acquire and demonstrate college-level proficiency in general education and essential skills, including oral and written communication, scientific and quantitative reasoning, critical analysis and reasoning, technological competency, and information literacy. Assessment of student learning demonstrates that the unit's students have knowledge, skills, and competencies consistent with unit and institutional goals, and at graduation have achieved appropriate higher education goals

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

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

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

In addition, units with graduate programs need to demonstrate that those programs also meet the following requirements:
- The unit's graduate programs are progressively more advanced in academic content than its undergraduate programs

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

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

Responsibilities for CPR Process

The Office of Academic Affairs oversees the CPR process by setting the schedule of internal reviews, or implementing the schedule set by the external accrediting organizations, and insuring that all parts of the

process are complete; however, the process begins within the academic unit under review and places the following responsibilities on the faculty serving each program:

- Development of a self-study that draws evidence-based conclusions about the current strengths and areas for improvement of the program, shows how the program has improved since its last review, and identifies specific areas of focus for future improvement

- Participation in an external review of the program

- Development of a response to conclusions and recommendations of the external review, and of a strategic plan for enacting these recommendations.

Deans overseeing each program under review have the following responsibilities:

- Providing feedback on the self-study while in development

- Recommending an External Reviewer to the Vice President of Academic Affairs

- Participation in all external reviews

- Forwarding completed self study, external review report, and unit response to the external review report to the Vice President of Academic Affairs

- Deans may choose to include their own conclusions or recommendations regarding the program under review.

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

- Participation in all external reviews

- Approving and inviting the External Reviewer

- Discussion of review results with the academic unit representatives and the deans

- Sharing the results of all CPRs with the Deans' and Directors' Council, the Institutional Effectiveness Committee, and the Administrative Council

- Placing all CPR documents in the CPR Repository on the Institutional Research web site.

Timeline of Internal Reviews

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

Following October	Faculty presents plan to implement CPR recommendations as part of its annual assessment report.

The Self Study

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

Guiding Questions

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

- What evidence exists that the unit offers degree programs consistent with its stated mission?

- What evidence exists that the unit's stated mission is consistent with GSW's mission?

- How does the unit ensure that each of its degree programs demonstrates coherence in sequencing, increasing complexity, and linkages between and among program components?

- How does the unit demonstrate that its programs are appropriate to higher education?

The number of full-time faculty members is adequate to support the mission of the unit and to ensure the quality and integrity of its academic programs:

- How does the mission of the unit determine the number and type of faculty employed?

- How does the unit determine the number of full-time faculty needed to achieve its mission?

- What is the responsibility of the full-time faculty and do they constitute a sufficient resource for carrying out basic faculty functions?

- What are the ways in which members of the unit other than full-time faculty carry out some of these functions?

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

- How does the mission of the unit influence the determination of the qualifications of the faculty in order to meet its goals?

- How does the unit determine the competencies of members of the faculty and demonstrate that the qualifications of the members of the faculty meet these competencies?

- How does the unit document the qualifications for each member of the faculty?

- How does the unit support faculty professional development?

The unit demonstrates that each of its educational programs for which academic credit is awarded is approved by the faculty:
- What is the process for developing and approving educational programs and who is responsible?

- What evidence exists to demonstrate that the unit places primary responsibility for the content, quality, and effectiveness of its curriculum with its faculty?

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

- How are expected outcomes clearly defined in measurable terms for each program offered by the unit?

- What is the evidence of assessment activities for each program within the unit?

- What is the evidence for broad-based participation in assessment activities?

- How are periodic reviews in which programmatic outcomes such as retention, graduation rates, employer and alumni satisfaction, and the like assessed, reviewed, and used for improvements?

The unit assesses student success with respect to program completion, job placement rates, and state licensing examinations, where appropriate.
- Are the three indicators mentioned above appropriate to the mission of the unit?

- If so, how does the unit collect data to measure its level of success?

- If so, how does the unit use analyze and utilize its findings to improve its success?

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

- What evidence exists that the coordinator for each major, curricular area, or concentration in an undergraduate or graduate degree program has the qualifications and credentials for leadership in the development and review of the curriculum?

- What evidence exists that the coordinator provides oversight for assessing the quality of the curriculum for the respective undergraduate or graduate degree programs and for ensuring that the curriculum, as well as the delivery of the curriculum, is educationally sound?

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

- For what specific college-level competencies within the general education program is the unit responsible?

- What evidence is available to show that students in the unit's programs have attained these competencies?

- How does the unit demonstrate that it identifies competencies that are college-level?

- How does the unit demonstrate that general education competencies are nurtured within its major programs?

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

- How is the unit using technology to enhance student learning?

- What evidence exists that the unit's use of technology is appropriate for meeting the objectives of its programs?

- How does the unit ensure faculty and student access to technology and to the training, use, and applications of technology?

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

- Does the unit make the best possible use of resources it has?

- What is the process that the unit uses to address allocation of workload? How are workload allocations reviewed by the unit and how are decisions to reallocate made?

- Are there areas where other resources could be accessed or developed by the unit? For example, could the unit develop beneficial arrangements with other campuses or organizations? Engage in fund raising or entrepreneurial activities?

- When there are hiring opportunities in the future, what would be the two to three best areas to search for new faculty to increase the unit's effectiveness in achieving its mission and program outcomes?

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

- How do the unit's facilities contribute to or inhibit current research and scholarly objectives?

- How do the unit's classrooms and learning spaces, and the technology available therein, contribute to or inhibit the unit's teaching and learning objectives?

- How do the unit's teaching laboratories, if applicable, contribute to or inhibit the unit's teaching and learning objectives?

Questions for Units with Graduate Programs

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

- How has the unit clearly defined the content and rigor of post-baccalaureate degree programs?

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

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

- How do the learning outcomes for graduate programs reflect expectations that students will demonstrate independent learning skills?

- What evidence exists that syllabi and degree requirements for graduate programs include activities that foster independent learning?

- How does the unit evaluate students' independent learning skills?

- How does the unit ensure that students are prepared for the independent learning required in graduate programs?

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

- What are we trying to do?

- How well are we doing it?

- How do we know?

- How do we use the information to improve?

- Do the improvements work?

- What assessment activities were planned? What activities are on-going? What activities were completed?

- What changes (if any) were implemented as a result of assessment? What changes (if any) were proposed but are not addressed yet?

- What curricular and/or degree changes have there been since the unit's last CPR, and why?

Format of the Internal Self Study

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

- Major Strengths

- Areas for Improvement

- Key Opportunities

- Key Challenges

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

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

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

The External Review

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

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

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

Procedures for the Review

Preparation of Reviewers
In preparation for the external review, the self-study will be sent to all reviewers no less than four weeks prior to the review visit by the external reviewer. The reviewers, external and internal may request additional information from the academic unit up to two weeks prior to the review visit. The review team

should consult with one another prior to the visit and come to a shared understanding of the primary issues to be investigated during the review visit.

Arrangements for Reviewers
The Office of Academic Affairs will make the necessary arrangements for the consultants. The usual visit will last 2 ½ working days. Typically reviewers arrive Wednesday afternoon and leave Friday in late afternoon. The Office of Academic Affairs will develop an itinerary for the visitors in consultation with the unit and the Dean of the school or college. A campus visit is intended to foster conversations and observations that enable the reviewers to complete the job we ask of them. Time will be provided for the review team members to work together in private in order to complete at least a rough draft of the review report prior to departure from GSW. If requested, laptop computers will be provided during the campus visit to assist the team in drafting its report. The review team will be asked to share their preliminary observations with the VPAA and the VPAA's invitees in an exit interview.
The Office of Academic Affairs covers the cost of duplicating the self-study for the reviewers; mailing of the self-study; travel, meals, and housing for the reviewers; and reviewers' honorarium. The Office of Academic Affairs also covers the reasonable expenses of the internal members of the review team. Expenses for travel, meals, and housing will be reimbursed as quickly as possible after the necessary receipts and vouchers are provided. Once the final report is received by the Provost, the external reviewer will receive the honorarium.

The Review Report
After reviewing all the pertinent information, the team will prepare a final report addressing how the unit's strengths can be maintained and improvements made in the future. If there are choices to be made, for example, among sub-disciplines for a unit's focal point, the alternatives should be outlined and critiqued. Obviously, if the University invested more resources in a program, the University would reap additional benefits. What the University asks of reviewers is a much more crucial task; they are asked to provide advice about the quality of what the unit does, how current resources are used, and how they might be used better to achieve the unit's aspirations.
The team should agree during its visit on a plan for preparing a single, consolidated report (typically about five pages of single-spaced text). Use of bulleting for items is acceptable. The report should address the items highlighted in the Self Study Executive Summary, as well as any other issues deemed pertinent by the review team. The report should conclude with recommended strategic priorities for the unit and GSW designed to improve the effectiveness of the unit's programs.

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

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

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

- Organizational meeting (agenda, logistics, university overview) – VPAA and Dean of School or College

- Unit Overview with unit head

- Undergraduate program overview with program coordinator and assessment committee

- Graduate program overview with graduate program coordinator and assessment committee, if applicable

- Meetings with subgroups of faculty (junior faculty, senior faculty, etc.)

- Meeting with undergraduates – undergraduates selected by unit (can be current students or alumni)

- Meeting with graduate students, if applicable–graduate students selected by unit (can be current students or alumni)

- Meeting with dean of unit – dean, which may include some of dean's staff

- Tour of facilities – organized by unit

- Review team meeting – private meeting to draft review report

- Debriefing with unit head and program coordinators

- Debriefing with VPAA and the VPAA's invitees

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

Purchasing Policies and Procedures

No person, other than the President, Vice Presidents, or Business and Finance Purchasing Personnel, is authorized to enter into any contract for equipment, supplies, materials or services. University procedures are based on state laws and formulated to comply with the Rules and Regulations of the Department of Administrative Services.

Failure to follow proper procedures may result in the person placing an order being held financially responsible as provided by law.

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

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

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

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

Please contact your supervisor or the Purchasing Department if you are uncertain of any procedure.
The Purchasing Department will conduct individual or group workshops whenever requested.

Work for Outside Pay

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

1. The faculty member shall not engage in any occupations, pursuits, or endeavors (on
part-time or full-time basis) which will interfere with the regular and punctual discharge of
his or her official duties.

2. Outside employment should not take priority over university functions at which a faculty
member should be present.

3. Equipment, supplies, materials, or clerical services of the University may not be used in
the furtherance of outside work.

4. The faculty member will consult with his/her department chair/academic dean before
accepting a commitment to engage in any outside work or consulting for pay during times
considered to be normal working periods.

a. At the beginning of the academic year, each faculty member should review with his/her
academic dean/department chair any anticipated commitments involving work for outside
pay.

Selection, Installation and Support of Computer Software and Hardware

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

1. Selection. When software or hardware is to be purchased, current standards for
supported computer systems may be obtained from the Office of Instructional Technology
by contacting Technical Support or sending an electronic mail request to techsupp@gsw.edu. The IT staff
can assist in selection of items that are compatible with existing equipment and the campus network, and
assure that proper software licenses are maintained.

2. Software. The staff in the Office of Instructional Technology is responsible for installing
licensed software on campus computer systems and for providing technical support for
licensed software in consultation with vendors. However, they cannot be responsible for
support of unlicensed software or improperly installed software. They also cannot always

correct a problem with licensed software that was created by improper installation of software.

3. Hardware. The staff in the Office of Instructional Technology will install computer hardware as well as support and maintain that hardware in consultation with vendors. The staff is not responsible for installation or performance of hardware that is not compatible with existing equipment and network.

4. Installations. The IT staff is committed to providing installation of hardware and software at the earliest possible date after delivery of equipment or software. Thus, it should not be necessary for anyone other than staff in the Office of Instructional Technology to provide installations. The staff may not be able to provide proper support for a computer system if equipment or software is installed by persons other than staff in the Office of Instructional Technology.

5. Adding devices and applications to the Campus Network. If a person or department wishes to add any network-based application or device, i.e., computer, printer, server, etc., to the campus network, the proposal should be reviewed by the Office of Instructional Technology preferably during the planning stage, for the purpose of assessing the impact of the application or device on the resources of the network, as any networked application or networked device affects the performance to some degree of all applications and devices which depend upon the network.

Property Control Policy

1. Physical Plant Key Control Policy

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

a. All requests for grandmaster keys must be submitted to and approved by the Vice President for Business and Finance.

b. Master Keys to buildings will only be issued to department heads and their administrative personnel (if required) for their department.

c. General faculty and staff will only be issued keys to their offices, the main building entrance, and required classrooms and/or laboratories.

d. Students will not be issued keys to any academic or administrative facility.

e. All keys will be issued by the Director of Physical Plant who will maintain appropriate records for accountability on all keys issued.

f. All keys lost or stolen must be promptly reported to Public Safety, the Physical Plant Director and to the appropriate administrator.

g. Terminating employees must turn in all keys issued to them prior to departure.

h. A key may be used only by the person to whom the key is issued. Keys are not to be loaned to students for even temporary use.

i. Any suspected improper or unauthorized use or possession of keys by anyone shall be reported to Public Safety immediately.

j. Keys issued to contract custodians and/or other contracting services will be kept to the very minimum required to perform their services. No grandmaster key will be issued to contractors under any conditions. The manager of a contracting unit will maintain total accountability for the keys issued to him/her. This includes appropriate check out and sign in procedures.

k. A physical inventory of all keys will be conducted at least annually by the Physical Plant Director.

2. Personal Property (Equipment) Control Policy

The purpose of the Personal Property (Equipment) Control Policy is to retain accountability, control, and prevent loss of all equipment assigned to the various departments.

a. While overall responsibility for university property is assigned to the Vice President for Business and Finance of the institution, primary responsibility is with each academic dean/department chair.

b. All deans/department chairs shall maintain a perpetual departmental inventory of all property, regardless of cost, for their area(s) of responsibility. This responsibility may not be assigned to any other person.

c. Schools and departments issuing property for use outside their assigned location shall have appropriate procedures for "sign out" and "sign in" of such property. The records shall be sufficient in detail to provide an audit and produce the property for inventory.

d. Any transfers of inventoried equipment must be coordinated with the Director of Materials Management. Equipment transfers of three months or longer will be considered a permanent transfer.

e. Missing, stolen or unaccounted for property shall be reported immediately to the appropriate Dean or Chair, Materials Management, and Public Safety.

Campus Safety.

f. Policies of the Board of Regents do not permit the University to lend or rent any of its equipment or supplies to any agency or individual outside the University. Neither does the Board allow faculty or staff to remove equipment from offices, classrooms, or elsewhere on the campus. (Board of Regents Policy No. 914.02 - BR Minutes, 1949-50, p. 109).

Smoking Policy

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

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

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

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

Exceptions for Tobacco Use

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

Enforcement

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

Violation of Policy

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

Resources Available for Tobacco Cessation

From time to time, the Board of Regents will make available resources to assist employees with tobacco cessation as well as educational materials and other wellness information. Such effort does not limit the amount of resources that the institution can provide for tobacco cessation and any other resources for the positive enforcement of this policy that the campus deems appropriate to provide. Resources for Tobacco Cessation can be found on the USG Workplace Wellness website at http://www.usg.edu/wellness/. (BOR policy 9.1.7)

Hazardous Materials Management

(Federal Hazard Communication Standard 29 CFR 1910.1200)

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

 For information concerning the management of hazardous materials on the Georgia Southwestern State University campus, contact Jenn Smith, Director of Physical Plant (Physical Plant, Extension 2309).

Grants and Contracts Manual for Research and Sponsored Programs

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Section 1

<u>Proposal Development</u>

1.1 Proposal Development

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

Outline of Steps to Follow in Proposal Development

1. Obtain preliminary, informal approval of your project from your department head and dean.

2. Obtain, from the Academic Affairs website or the Vice President for Academic Affairs, the routing form and grants resource information.

3. Write a draft of the proposal, carefully following the guidelines of the funding agency's Request for Proposal (RFP). It is a good idea to read the guidelines before beginning to write a proposal. Some agencies have stringent requirements on format and length, and proposals that do not conform to these requirements are frequently relegated to the pile of rejections. Have a colleague review and comment.

4. Keep in mind the deadline for receipt of your proposal at the sponsoring agency and plan your work to accommodate the time necessary to complete the total proposal process.

5. Begin work on the budget.

6. Fill out the Georgia Southwestern State University *Approval to Submit Proposal for External Funding Form* (Routing form). Your signature on the back of the form will indicate your compliance with various federal regulations. Attach a copy of your complete proposal if it is finished. If the proposal is not finished, approval may be obtained by routing the completed routing form, final budget and budget narrative, proposal draft, any signature and compliance pages, and an abstract. You will be asked for more information if it is needed.

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

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

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

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

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

1.2 Finding Information about Grant Opportunities

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

1.3 What is Appropriate for Federal Support

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

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

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

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

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

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

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

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

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

Activities inappropriate for federal funding are those that:

• are primarily local in impact and likely to benefit a single institution or group (such as a project to enhance the skills of elementary school music teachers);

• provide services that an institution normally would be expected to offer as part of its regular operations (such as support for a language laboratory to provide instruction in commonly taught foreign languages);

• replicate long-established or well-tested practices (such as projects to introduce "writing across the curriculum"); or

• are commercially viable and thus capable of attracting private sponsorship (such as development of computer software or publication of textbooks likely to have a sizeable market).

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

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

1.4 Travel Support

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

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

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

Research

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

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

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

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

Educational and Cultural Exchanges

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

Conferences

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

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

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

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

Foundations

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

Suggestions

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

Section 2

Application Procedures

<u>2.1 Application Procedures</u>

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

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

a) The possibility of significant results to be obtained from the research project;

b) The resources required to conduct the project are analyzed in terms of existing and projected commitments of the agency and the university;

c) The request for funds is evaluated in reference to cost effectiveness and efficiency;

d) The competency of the investigator to undertake the proposed research.

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

SAMPLE FORMAT

1. Title Page

This page should include the following information:

a) short title that gives a clear indication of the essential nature of the project;

b) name and address of the agency to which the proposal is being submitted;

c) name, title, address, and telephone number of the PI;

d) name and address of the university;

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

f) total estimated cost of the project;

g) signature of the PI;

h) signature and title of GSW's President.

2. Abstract

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

3. Table of Contents

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

4. Introduction

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

5. Project Description

This section includes at least the following elements:

a) a statement of the problem and objectives;

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

c) hypotheses to be tested or results expected;

d) research design, methodology, and evaluation.

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

6. Facilities

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

7. Personnel

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

8. Project Period

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

9. Budget

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

10. Budget Explanation (Budget Narrative)

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

2.2 Sample Biographic Data Sheet

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

Name:

Title in the Project: (eg. Associate Director)

Academic Rank:

Institutional Address:

Telephone Number:

Education:

Institution Degree Field Date

Teaching Experience:

Institution Field Date

Previously Funded Projects:

Institution Funding Agency Project Period

Publications Related to this Project:

Papers Presented:

Other Work Related to this Proposal:

Professional Affiliations:

Honors and Awards:

University Service: (as appropriate)

2.3 Deadlines

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

2.4 Institutional Approval Procedure

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

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

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

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

<u>2.5 Sponsor's Evaluation</u>

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

a) **Significance.** The project should focus on problems of major importance. The anticipated outcome of the project should produce communicable results of potential value to others. There should be a clear prospect of accomplishing the proposed project. The PI should either be concerned with the development of new knowledge applicable to the problem or testing previous assumptions or conclusions.

b) **Design or Operational Plan.** The problem to be dealt with should be well defined. The purpose and value of the project, its plan of development, method of approach, expected outcome, and need for implementation should be clear. The proposal should reflect a familiarity with the historical background of the problem, an awareness of similar projects that have been previously undertaken, and an adequate knowledge of other related activities. The questions to be answered and hypotheses to be tested should be well formulated and clearly stated. The proposal should fully outline the procedure to be followed and include information on applicable points such as sampling techniques, controls, types of data to be gathered, and statistical analyses to be completed.

c) **Personnel and Facilities**. The role of all professional personnel involved in the project should be clearly stated. The applicant should have facilities available which are adequate for carrying out the project. The PI should have a history of professional experience in the project area or a clearly demonstrated competence for conducting work in that area.

d) **Economic Efficiency.** The proposal should be reasonable in terms of overall costs, with emphasis given to the favorable relationship between probable results and total expenditures. The period of time required for efficient production should be clearly stated and a general timetable provided. Any parallel requests for support from other agencies for the same project should be indicated. Many agencies require matching funds. The ratio of requested or matching (in-kind or otherwise) contributions must be addressed in the budget and budget narrative.

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

2.6 Proposal Rejections

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

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

a) Guidelines were not followed.

b) The project did not respond directly to the sponsor's priorities or mission.

c) The research plan and objectives were not clear.

d) The proposal contained poor methodology or research design.

e) The applicant displayed a lack of knowledge or did previous work in the field which duplicates the proposal.

f) The applicant's qualifications and experience were not sufficient or appropriate to the planned activity.

g) The budget request was unreasonable in terms of the projected outcomes or proposed timetable.

h) The project could not reasonably be completed in the time proposed.

2.7 Deciding to Resubmit

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

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

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

• Submission requirements between agencies often vary widely, and a proposal written to conform to the standards of one agency may need major revision to fit the guidelines of another agency.

• The funds available from an alternate agency may differ from those offered by the original agency.

• Some revision to the overall plan of your project and its budget may be necessary in order to meet funding limits of a different agency.

Section 3

Fiscal Considerations

3.1 Fiscal Considerations: Budget Preparation

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

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

3.2 Outline Steps to Follow in Budget Preparation

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

b) Decide on the amount of time that you and other professionals involved in the project will have to contribute.

c) Figure the time required for assistants and secretarial or clerical help, for consultants, honoraria, travel, lodging, subsistence.

d) Estimate the costs of equipment, supplies, printing, duplication, media services, staff services, postage, telephone, data processing time, etc.

e) The finalized budget is included with the narrative portion of the application and processed through institutional review.

3.3 Direct Costs

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

Most sponsors allow direct costs funding for the following categories:

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

1. Principal investigator or project director.

2. Other on-campus professionals.

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

4. Technicians, etc.

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

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

Formulas for Calculating Salary and Wages

If you are on a 10-month salary:

One course reduction = 1/10 of

salary shown on your contract

One month = 1/9 of salary shown

on your contract

Calculation of Fringe Benefits

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

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

For Part Time Faculty use 1.45% fica med

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

For Graduate Assistants no fringe benefits are calculated

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

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

For overtime use 1.45% fica med and 6.2% fica

For Part Time Clerical Staff use 1.45% fica med

For Student Assistants no fringe benefits are calculated

Please contact the Business Office for assistance

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

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

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

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

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

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

1. Communications - costs of telephone and postage;

2. Publication charges - graphics and printing, duplication, media services, final report costs, etc. and;

3. Miscellaneous cost of project operation.

3.4 Indirect Costs (Facilities and Administrative Costs)

Indirect costs are those that have been incurred for common or joint objectives of the university and the sponsored program and which, therefore, cannot be identified specifically in reference to a particular project.

Indirect costs include items such as building operations and maintenance, laboratory space, library services, utilities, and administrative services. Indirect costs related to the conduct of a sponsored program are just as real as the direct costs and ultimately must be provided for either by the sponsor or by the university. Note that some federal agencies have specific rules regarding indirect cost rates. For example, the US Department of Education places an 8% cap on IDC recovery for training grants and disallows the use of unrecovered indirect costs to meet matching or cost-sharing requirements for training grants.

Check the rules provided in the agency's guidelines or RFP. Show unrecovered indirect costs in the cost-share column of your budget. If you are not allowed to use these costs to meet your cost sharing requirement, make sure that the sum of the other costs in this column add up to the appropriate amount. Note that indirect cost funds, when awarded, are not available for use in the

project itself. Costs of the project must be paid by direct costs as outlined in the original proposal budget.

3.4a Georgia Southwestern State University Procedure For Facilities And Administrative (Indirect) Cost Recovery

A-21, *Cost Principles for Educational Institutions*, was revised by OMB(Federal Office of Management and Budgets) as of May 8, 1996.

One of the revisions changed the term "indirect costs" to "facilities and administrative costs" (F & A Costs). Georgia Southwestern State University policy is to seek full reimbursement of F & A costs in connection with all externally supported programs. It is recognized, however, that some donors and grantors have fixed policies limiting the reimbursement of F & A costs. The University will consider sponsor-imposed conditions regarding the limitation or waiver of F & A costs if required by federal law or regulation, or if the sponsoring agency (foreign, domestic, private corporation, foundation, or other business entity) publishes a rate or policy that is consistently applied to all grants and contracts with educational institutions.

In addition, it must be demonstrated that the project is of significant importance to the university to warrant subsidizing the F & A costs from other programs. Gifts and grants for scholarships and fellowships are not subject to this Procedure. Requests for exceptions must be submitted to the Vice President of Academic Affairs and the Vice President for Business and Finance for approval.

Formula for Calculating Indirect Costs:

Up to a maximum of 46% of salary and wages depending on the funding source (do not include fringe benefits).

3.5 Proposal Negotiation

It is the responsibility of the PI to negotiate with the funding agency for a particular proposal. Many times a proposal is considered eligible by the sponsor, but the funds requested exceed what the reviewers feel necessary or what the agency has available to support the project. A reduction in the budget would then become necessary. Negotiated budgets should be routed through the local review channels before the university accepts the negotiated proposal.

Remember that a reduction in the budget may create changes in the scope of the work. To maintain credibility with the funding agency, the PI should consider a work reduction commensurate with any substantial budget reduction. Often personal and professional relationships develop between individual faculty members and agency staff personnel. GSW encourages the development and maintenance of good contacts and informal discussions with granting agencies. It is important, however, to remember that such informal discussions do not represent the agency or university commitments. It is important that all contracts entered into on

behalf of the university be signed by an authorized institutional representative (Vice President for Business and Finance and the President).

Section 4

Post-Award Management

4.1 Post-award Project Management

Administering an award consists of the necessary actions for managing a grant award, from the initial authority to expend grant moneys through the fiscal close-out and final report of an expired grant. The post-award management of any grant is the responsibility of the Principal Investigator (PI) and the Business Office.

The post-award section of this manual contains information on the process of post-award management. In the preparation of this material, the general requirements of federal grants have been considered. However, it is important to understand that there has been no attempt to cover the specific regulations of all federal and non-federal agencies and their various programs. Principal Investigators are responsible for strict adherence to the

regulations governing their awards, so it is imperative that they have complete knowledge of those regulations and the university's regulations concerning expenditures of grant awards.

Award Notification and Establishing an Account

Upon receipt of grant award notification, the PI should examine the document for possible administrative errors or omissions. **Next, the PI must send a copy of the award letter along with a departmental Peoplesoft contact to the Comptroller.** The Comptroller is required to file the award letter with the proposal and routing forms.

No one receiving grant funds is permitted to establish separate bank accounts or is, in any way, allowed to execute financial transactions separate from university procedures. The Vice President for Business and Finance will forward the award information to the Business Office. An account and budget will be set up according to the budget form completed by the PI.

Managing and Documenting Expenditures

The PI should consult the grant contract throughout the project concerning expenditures. **All grant and contract expenditures are subject to purchasing, budgeting, personnel and other university policies and procedures. They must be approved by the department head.**

Regardless of the funding source of any grant, all expenditures must comply not only with the guidelines of the sponsor but also with existing university, Board of Regents, and state policies.

Any anticipated variances with the Procedure must be discussed with the Vice President for Business and Finance and formally approved.

Grant and Contract Record Retention Requirements

Grant and contract records are required to be kept for specific periods after completion of the project. There are different record retention requirements for different types of agreements.

For Federal grants and cooperative agreements, you should refer to Office of Management and Budget (OMB) Circular A-110, part __.53. In most cases, a three-year retention requirement from the date of submission of your final expenditure report is required. There are, however, exceptions for other types of records or litigation. Please note that the United States Department of Education has a statutory five year retention period.

For contracts, the provisions of the Federal Acquisitions Regulations (FAR) apply with varying times; six years is a good choice. Agreements with non-federal sponsors (state, foundations, etc.) may have record retention requirements which are different again.

Keeping grant and contract records for seven years from the date of project termination would seem to cover most requirements.

Remember, retention should be in accordance with project not budget period. OMB rules that record retention requirements also apply to technical data.

Responsibilities of the PI

Acceptance of a sponsored program fund by the university commits the university and the PI to conduct the program in a professional manner and in accordance with the policies of the funding agency. It is the responsibility of each PI to insure that the research effort or program is commensurate with the expectations of the grantor and with the highest ideals of professional inquiry. Although the PI is responsible to the funding agency for conducting a particular project, the normal supervisory relationship between the university and the PI is not altered. The ultimate accountability for any sponsored project rests with the university.

The PI should remember that the support of the various administrative units of the university is available during the conduct of the sponsored activity. Explanations of procedures and support are available from the Personnel department concerning the hiring of new personnel, and from the Business Office and Purchasing concerning appropriate expenditures of all types -- from equipment purchases to required telephone service.

Throughout the entire implementation of the project, the Principal Investigator should document all activities to ensure proper reporting of all activities and expenditures as required by the sponsor.

Helpful suggestions for the PI

• Make an appointment with the Comptroller as soon as you receive the award notification in order to set up your Peoplesoft account.
• Do not incur obligations under new or renewed projects until authority to expend has been received and an appropriate account number has been assigned.
• Read the award guidelines and budget carefully to insure proper management of the award.
• Do not purchase equipment during the last three months of a federal grant. The auditor may disallow the cost of the equipment purchased near the end of a grant.
• Under ordinary circumstances, PI's should not order supplies during the last month of a grant.
• Verify all charges on the grant with the Business Office before such financial commitments are made. Common budget items and recurring expenses, such as salaries, may be verified when the account is established.
• Process all budgetary adjustments through the Budget Office to avoid audit disallowances.
• Each month monitor the grant expenses and encumbrances as a check on the remaining funds via your Peoplesoft account.
• Do not make expenditures on a terminated grant account while awaiting assignment of a new account number for a renewal grant.
• Do not incur obligations if you have any doubts as to whether they will be allowed. Always check with the agency contact for your award and with the Business Office.
• Make a point to submit required periodic and final reports on time.
• Remember that the Business Office has fiscal responsibility to insure that your award is administered in accordance with the regulations of the funding agency and the university.
• The PI cannot approve additional pay, salary or travel for him/herself.

4.2 Grant Close-Out Requirements

Finishing a grant project is just as important as starting one. In many cases, the way in which close-out procedures are handled, such as timely submission of final reports and the quality of those reports, can have a direct impact on chances for future funding.

There are several areas of management that need particular attention at the close of the funding project: budget, personnel, purchasing and grants files.

Budget: Make sure final budget revisions are on file and notify the staff and other appropriate personnel that the grant has expired and should not be used after the grant period has ended.

Personnel: Please complete all termination paperwork for all staff. If needed, transfer all payroll changes for staff to new cost centers or to the new assigned number for the "continuation grant". If the grant has expired, it is imperative that all personnel is moved from the cost center associated with the "old" grant.

Purchasing Activities: Telephones must be transferred to other budgets or removed. Bookstore charges should be checked and reconciled, and the bookstore notified that charges to the grant are no longer valid.

Grant Files: Please review all files for grant documentation associated with personnel records, purchase orders/requisitions and budget records. Include any necessary back up when changes occurred. Keep in mind that an auditor may contact you regarding the records associated with your grant. Your diligence in keeping and recording accurate files is essential for future funding. It is important to "clean up" all files/records once at the end of a grant cycle.

Helpful Information

Provost and Vice President for Academic Affairs

Dr. Jill Drake

Extension: 1361

jill.drake@gsw.edu

Vice President for Business and Finance

Mr. Jeff Hall

Extension: 2066

jeff.hall @gsw.edu

Comptroller

Ms. Christy Barry

Extension: 2066

christy.barry@gsw.edu

Commonly Encountered Acronyms

AAAS American Association for the Advancement of Science

AASCU American Association of State Colleges & Universities

AAU Association of American Universities

AAUW American Association of University Women Educational Foundation

ACF Administration on Children and Families (HHS)

ACYF Administration for Children, Youth and Families (ACF)

ADA Americans with Disabilities Act

ADD Administration on Developmental Disabilities (ACF)

AED Academy for Educational Development

AHCPR Agency for Health Care Policy and Research (HHS)

AHEC Area Health Education Centers (HRSA)

AID Agency for International Development --also USAID (IDCA)

AOA Administration on Aging (HHS)

AREA Academic Research Enhancement Award (NIH)

ARI Academic Research Infrastructure Program (NSF)

ARO Army Research Office (DOD)

ARS Agriculture Research Service (USDA)

ATP Advanced Technology Program

ATSDR Agency for Toxic Substances and Disease Registry (PHS)

BAA Broad Agency Announcement

BHRD Bureau of Health Resources Development (HRSA)

BLM Bureau of Land Management (DOI)

BLS Bureau of Labor Statistics (DOL)

BMCH Bureau of Maternal and Child Health (HRSA)

CAN Combined Application Notice (ED)

CBD *Commerce Business Daily*

CBO Congressional Budget Office

CCR Commission on Civil Rights

CDC Center for Disease Control and Prevention (HHS)

CFA Commission on Fine Arts

CFDA Catalog of Federal Domestic Assistance

CFR Code of Federal Regulations

CIES Council for the International Exchange of Scholars

CNCS The Corporation for National and Community Service

COGR Council on Governmental Relations

COI Conflict of Interest

CPB Corporation for Public Broadcasting

CSAP Center for Substance Abuse Prevention (SAMHSA)

CSAT Center for Substance Abuse Treatment (SAMHSA)

CSRS Cooperative State Research Service (USDA)

DEA Drug Enforcement Agency (DOJ)

DOC Department of Commerce

DOD Department of Defense

DOE Department of Energy

DOI Department of Interior

DOJ Department of Justice

DOL Department of Labor

DOS Department of State

DOT Department of Transportation

DUE Division of Undergraduate Education (NSF)

ED Department of Education -- also known as DOE

EDA Economic Development Administration (Commerce)

EDGAR Education Department General Administrative Regulations

EOP Executive Office of the President

EPA Environmental Protection Agency

EPSCoR Experimental Program to Stimulate Competitive Research

ETA Employment & Training Administration (DOL)

F&A Costs Facilities and Admininstative Costs (formerly Indirect Costs)

FAA Federal Aviation Administration (DOT)

FAR Federal Acquisition Regulation

FCC Federal Communications Commission

FDA Food and Drug Administration (HHS)

FDP Federal Demonstration Project

FERC Federal Energy Regulatory Commission (DOE)

FHA Federal Highway Administration (DOT)

FIE Fund for Innovation in Education (ED)

FIPSE Fund for the Improvement of Postsecondary Education (ED)

FR *Federal Register*

FTC Federal Trade Commission

FY Fiscal Year

GAANN Graduate Assistance in Areas of National Need (ED)

GAO General Accounting Office

GPG Grant Proposal Guide (NSF)

GPO Government Printing Office

GSA General Services Administration

HBCU Historically Black College or University

HCFA Health Care Financing Administration (HHS)

HHS Department of Health and Human Services

HRSA Health Resources and Services Administration (HHS)

HUD Department of Housing and Urban Development

IACUC Institutional Animal Care and Use Committee

IAF Inter-American Foundation

ICC Interstate Commerce Commission

IDC Indirect Costs

IDCA International Development Cooperation Agency

IDEA Individuals with Disabilities Education Act

IHE Institute of Higher Education

IIE Institute of International Education

IOM Institute of Medicine

IRB Institutional Review Board

IREX International Research and Exchanges Board

JOBS Jobs Opportunities and Basic Skills (HHS)

JTPA Job Training Partnership Act (DOL)

LSC Legal Services Corporation

MARFIN Marine Fisheries Initiative (NOAA)

MBDA Minority Business Development Agency (DOC)

MI Minority Institution

MSIP Minority Science Improvement Program (ED)

MTDC Modified Total Direct Costs

NAE National Academy of Engineering

NAEP National Assessment of Educational Programs (ED)

NARA National Archives and Records Administration

NAS National Academy of Sciences

NASA National Aeronautics and Space Administration

NASULGC National Association of State Universities and Land-Grant Colleges

NCD National Council on Disability

NCI National Cancer Institute (NIH)

NCLIS National Commission on Libraries and Information Science

NCRR National Center for Research Resources (NIH)

NCTR National Center for Toxicological Research (HHS)

NCURA National Council of University Research Administrators

NEA National Endowment for the Arts

NEH National Endowment for the Humanities

NFAH National Foundation on the Arts and Humanities

NHLBI National Heart, Lung & Blood Institute (NIH)

NIA National Institute on Aging (NIH)

NIAAA National Institute on Alcohol Abuse and Alcoholism (NIH)

NIAID National Institute of Allergy & Infectious Diseases (NIH)

NIAMSD National Institute of Arthritis & Musculoskeletal & Skin Diseases (NIH)

NIDA National Institute on Drug Abuse (NIH)

NIDCD National Institute on Deafness & Other Communication Disorders (NIH)

NIDR National Institute of Dental Research (NIH)

NIDRR National Institute on Disability & Rehabilitation Research (OSERS)

NIH National Institutes of Health (HHS)

NII National Information Infrastructure

NIJ National Institute of Justice (DOJ)

NIMH National Institute of Mental Health (NIH)

NINR National Institute of Nursing Research (NIH)

NIST National Institute of Standards and Technology (DOC)

NLM National Library of Medicine (NIH)

NMFS National Marine Fisheries Services (NOAA)

NOAA National Oceanic and Atmospheric Administration (DOC)

NPRM Notice of Proposed Rulemaking

NSA National Security Agency (DOD)

NSB National Science Board (NSF)

NSC National Security Council (EOP)

NSEP National Security Education Program (DOD)

NSF National Science Foundation

NTIS National Technical Information Service (DOC)

NTSB National Transportation Safety Board

OASH Office of the Assistant Secretary for Health

OBEMLA Office of Bilingual Education and Minority Language Affairs (ED)

OEIR Office of Educational Research and Improvement (ED)

OESE Office of Elementary and Secondary Education (also El-Sec) (ED)

OGE Office of Government Ethics

OICD Office of International Cooperation & Development (USDA)

OMB Office of Management & Budget (EOP)

OPSE Office of Postsecondary Education (or OPS) (ED)

OPM Office of Personnel Management

OPRR Office for Protection from Research Risks (NIH)

ORI Office of Research Integrity (OASH)

OSEP Office of Special Education Programs (OSERS)

OSERS Office of Special Education and Rehabilitative Services (ED)

OSP Office of Sponsored Programs (AASU)

OSR Office of Systemic Reform (NSF)

OSTP Office of Science & Technology Policy (EOP)

OTA Office of Technology Assessment

PHS Public Health Service (HHS)

PI/PD Principal Investigator/Project Director

PREP Pre-Freshman Enrichment Program (DOE)

PRH Patricia Robert Harris Program (ED)

RDA Rural Development Administration (USDA)

RFA Request for Applications

RFP Request for Proposals

SAMHSA Substance Abuse and Mental Health Services Administration (HHS)

SBA Small Business Administration

SBIRP Small Business Innovative Research Program

SCUP School, College, University Partnership Program (ED)

SEC Securities and Exchange Commission

SI Smithsonian Institution

SPRANS Special Projects of Regional & National Significance (HRSA)

STIS Science & Technology Information System (NSF)

STTR Small Business Technology Transfer Program

S&W Salaries & Wages

TDC Total Direct Costs

TMDC Total Modified Direct Costs

TRIO Division of Student Services Programs (ED)

USAID United States Agency for International Development (also AID) (IDCA)

USDA United States Department of Agriculture

USIA United States Information Agency

USIP United States Institute of Peace

Glossary of Grant Related Terms

 *Abstract: A short summary of a project or program including all pertinent aspects of the sponsored activity, a summary of the objectives and expected results. The abstract is usually less than 350 words and limited to one double spaced typed page.

Annual report: A voluntary report issued by a foundation or corporation that provides financial data and descriptions of its grantmaking activities. Annual reports vary in format from simple typewritten documents listing the year's grants to detailed publications that provide substantial information about the grantmaker's grantmaking programs.

Assets: The amount of capital or principal — money, stocks, bonds, real estate, or other resources — controlled by a foundation or corporate giving program. Generally, assets are invested and the resulting income is used to make grants.

Associates program: A fee-based membership program of the Foundation Center providing toll-free telephone reference, photocopy and fax service, and computer searches of Foundation Center databases.

Beneficiary: In philanthropic terms, the donee or grantee receiving funds from a foundation or corporate giving program is the beneficiary, although society benefits as well.

Bricks and Mortar: An informal term for grants for buildings or construction projects.

Capital support: Funds provided for endowment purposes, buildings, construction, or equipment, and including, for example, grants for "bricks and mortar."

CD-ROM: Acronym for Compact Disk-Read Only Memory. CD-ROMs are high-capacity computer disks that allow publishers and other information providers to distribute large amounts of information in a searchable format.

Challenge grant: A grant that is paid only if the donee organization is able to raise additional funds from other sources. Challenge grants are often used to stimulate giving from other donors. See also matching grant.

Community foundation: A 501(c)(3) organization that makes grants for charitable purposes in a specific community or region. The funds available to a community foundation are usually derived from many donors and held in an endowment that is independently administered; income earned by the endowment is then used to make grants. Although a community foundation may be classified by the IRS as a private foundation, most are classified as public charities and are thus eligible for maximum tax-deductible contributions from the general public. See also 501(c)(3); public charity.

Community fund: An organized community program which makes annual appeals to the general public for funds that are usually not retained in an endowment but are instead used for the ongoing operational support of local agencies. See also federated giving program.

Company-sponsored foundation (also referred to as a corporate foundation): A private foundation whose assets are derived primarily from the contributions of a for-profit business. While a company-sponsored foundation may maintain close ties with its parent company, it is an independent organization with its own endowment and as such is subject to the same rules and regulations as other private foundations. See also private foundation.

Cooperating Collection: A member of the Foundation Center's network of libraries, community foundations, and other nonprofit agencies that provides a core collection of Center publications in addition to a variety of supplementary materials and services in areas useful to grantseekers.

Cooperative venture: A joint effort between or among two or more grantmakers. Cooperative venture partners may share in funding responsibilities or contribute information and technical resources.

Corporate foundation: See company-sponsored foundation.

Corporate giving program: A grantmaking program established and administered within a for-profit corporation. Because corporate giving programs do not have separate endowments, their annual grant totals generally are directly related to company profits. Corporate giving programs are not subject to the same reporting requirements as corporate foundations.

*Cost sharing: see matching grant

DIALOG: An online database information service made available by Knight Ridder Information Services, Inc. The Foundation Center offers two large files on foundations and grants through DIALOG.

*Direct Costs: Includes all items that can be categorically identified and charged to the specific project, such as personnel, fringe benefits, consultants, subcontractors, travel, equipment, supplies and materials, communications, computer time, and publication charges.

Distribution committee: The committee responsible for making grant decisions. For community foundations, the distribution committee is intended to be broadly representative of the community served by the foundation.

Donee: The recipient of a grant. (Also known as the grantee or the beneficiary.)

Donor: An individual or organization that makes a grant or contribution to a donee. (Also known as the grantor.)

Employee matching grant: A contribution to a charitable organization by an employee that is matched by a similar contribution from his or her employer. Many corporations have employee matching-gift programs in higher education that encourage their employees to give to the college or university of their choice.

Endowment: Funds intended to be invested in perpetuity to provide income for continued support of a not-for-profit organization.

Expenditure responsibility: In general, when a private foundation makes a grant to an organization that is not classified by the IRS as a "public charity," the foundation is required by law to provide some assurance that the funds will be used for the intended charitable purposes. Special reports on such grants must be filed with the IRS. Most grantee organizations are public charities and many foundations do not make "expenditure responsibility" grants.

Family foundation: An independent private foundation whose funds are derived from members of a single family. Family members often serve as officers or board members of family foundations and have a significant role in their grantmaking decisions. See also operating foundation; private foundation; public charity.

Federated giving program: A joint fundraising effort usually administered by a nonprofit "umbrella" organization that in turn distributes the contributed funds to several nonprofit agencies. United Way and community chests or funds, the United Jewish Appeal and other religious appeals, the United Negro College Fund, and joint arts councils are examples of federated giving programs. See also community fund.

Field offices: The Washington, D.C., Atlanta, Cleveland, and San Francisco reference collections operated by the Foundation Center, all of which offer a wide variety of services and comprehensive collections of information on foundations and grants.

501(c)(3): The section of the tax code that defines nonprofit, charitable (as broadly defined), tax-exempt organizations; 501(c)(3) organizations are further defined as public charities, private operating foundations, and private non-operating foundations. See also operating foundation; private foundation; public charity.

Form 990-PF: The public record information return that all private foundations are required by law to submit annually to the Internal Revenue Service.

General/operating support: A grant made to further the general purpose or work of an organization, rather than for a specific purpose or project; also called an unrestricted grant.

General purpose foundation: An independent private foundation that awards grants in many different fields of interest. See also special purpose foundation.

Grantee financial report: A report detailing how grant funds were used by an organization. Many corporate grantmakers require this kind of report from grantees. A financial report generally includes a listing of all expenditures from grant funds as well as an overall organizational financial report covering revenue and expenses, assets and liabilities.

Grassroots fundraising: Efforts to raise money from individuals or groups from the local community on a broad basis. Usually an organization's own constituents — people who live in the neighborhood served or clients of the agency's services — are the sources of these funds. Grassroots fundraising activities include membership drives, raffles, auctions, benefits, and a range of other activities.

Guidelines: Procedures set forth by a funder that grantseekers should follow when approaching a grantmaker.

Independent foundation: A grantmaking organization usually classified by the IRS as a private foundation. Independent foundations may also be known as family foundations, general purpose foundations, special purpose foundations, or private non-operating foundations. The Foundation Center places independent foundations and company-sponsored foundations in separate categories; however, federal law normally classifies both as private, non-operating foundations subject to the same rules and requirements. See also private foundation.

*Indirect costs: Costs that have been incurred for common or joint objectives of the university and the sponsored program, and which, therefore, cannot be identified specifically in reference to a particular project, such as building operations and maintenance, laboratory space, library service, utilities, and administrative services.

In-kind contribution: A contribution of equipment, supplies, or other tangible resource, as distinguished from a monetary grant. Some organizations may also donate the use of space or staff time as an in-kind contribution.

Matching grant: A grant that is made to match funds provided by another donor. See also challenge grant; employee matching gift.

Microfiche: Flat strips of microfilm. The Foundation Center collects and makes available foundation 990-PFs on microfiche mounted on aperture cards by the IRS.

Operating foundation: A 501(c)(3) organization classified by the IRS as a private foundation whose primary purpose is to conduct research, social welfare, or other programs determined by its governing body or establishment charter. An operating foundation may make grants, but the sum generally is small relative to the funds used for the foundation's own programs. See also 501(c)(3).

Operating support grant: A grant to cover the regular personnel, administrative, and miscellaneous expenses of an existing program or project. See also general/operating support.

Orientation: An introduction to available resources and fundraising research strategies presented by Foundation Center library staff. Supervisors at Cooperating Collections may conduct orientation sessions as well.

Payout requirement: The minimum amount that private foundations are required to expend for charitable purposes (including grants and, within certain limits, the administrative cost of making grants). In general, a private foundation must meet or exceed an annual payout requirement of five percent of the average market value of its total assets.

Private foundation: A nongovernmental, nonprofit organization with funds (usually from a single source, such as an individual, family, or corporation) and program managed by its own trustees or directors. Private foundations are established to maintain or aid social, educational, religious, or other charitable activities serving the common welfare, primarily through the making of grants. See also 501(c)(3); public charity.

Program amount: Funds that are expended to support a particular program administered internally by a foundation or corporate giving program.

Program officer: A staff member of a foundation who reviews grant proposals and processes applications for the board of trustees. Only a small percentage of foundations have program officers.

Program-related investment (PRI): A loan or other investment (as distinguished from a grant) made by a foundation to another organization for a project related to the foundation's philanthropic purposes and interests.

Proposal: A written application, often accompanied by supporting documents, submitted to a foundation or corporate giving program in requesting a grant. Most foundations and corporations do not use printed application forms but instead require written proposals; others prefer preliminary letters of inquiry prior to a formal proposal. Consult published guidelines.

Public charity: A nonprofit organization that qualifies for tax-exempt status under section 501(c)(3) of the IRS code. Public charities are the recipients of most foundation and corporate grants. Some public charities also make grants. Public charities are eligible for maximum income tax-deductible contributions from the public and are not subject to the same rules and restrictions as private foundations. Some are also referred to as "public foundations" or "publicly supported organizations" and may use the term "foundation" in their names. See also 501(c)(3); private foundation.

Qualifying distributions: Expenditures of a private foundation made to satisfy its annual payout requirement. These can include grants, reasonable administrative expenses, set-asides, loans and program-related investments, and amounts paid to acquire assets used directly in carrying out tax-exempt purposes.

Query letter: A brief letter outlining an organization's activities and its request for funding that is sent to a potential grantmaker in order to determine whether it would be appropriate to submit a full grant proposal. Many grantmakers prefer to be contacted in this way before receiving a full proposal.

*Research: "The Code of Federal Regulations defines research as "...a systematic investigation, including research development, testing and evaluation, designed to develop or to contribute to generalized knowledge."

RFP: An acronym for Request for Proposal. When the government issues a new contract or grant program, it sends out RFPs to agencies that might be qualified to participate. The RFP lists project specifications and application procedures. While a few foundations occasionally use RFPs in specific fields, most prefer to consider proposals that are initiated by applicants.

*Scholarship: any activity "of critical, systematic investigation in one or more fields and the submission of one's findings for criticism by professional peers and the public through published writings, lectures, or other modes of presentation."

Seed money: A grant or contribution used to start a new project or organization. Seed grants may cover salaries and other operating expenses of a new project.

Set-asides: Funds set aside by a foundation for a specific purpose or project that are counted as qualifying distributions toward the foundation's annual payout requirement. Amounts for the project must be paid within five years of the first set-aside.

Special purpose foundation: A private foundation that focuses its grantmaking activities in one or a few areas of interest. See also general purpose foundation.

Sponsorship: Affiliation with an existing nonprofit organization for the purpose of receiving grants. Grantseekers may either apply for federal tax-exempt status or affiliate with a nonprofit sponsor.

Tax-exempt: Refers to organizations that do not have to pay taxes such as federal or state corporate tax or state sales tax. Individuals who make donations to such organizations may be able to deduct these contributions from their income tax.

Technical assistance: Operational or management assistance given to nonprofit organizations. It can include fundraising assistance, budgeting and financial planning, program planning, legal advice, marketing, and other aids to management. Assistance may be offered directly by the staff of a foundation or corporation, or it may be provided in the form of a grant to pay for the services of an outside consultant. See also in-kind contributions.

Trustee: A foundation board member or officer who helps make decisions about how grant monies are spent. Depending on whether the foundation has paid staff, trustees may take a more or less active role in running its affairs.

Georgia Southwestern State University

Timeline for Development/Approval for Proposal for External Funding

_____ Date proposal is due: sent/postmarked to funding agent

_____ 2 Days before mailing: receive from President signed original for final preparation of copies for mailing

_____ 10 Days before due date or mailing date: full proposal with VPBF signature to Provost

_____ 12 Days before due date or mailing date: final budget sign off by VPBF

_____ 20 days before due date: provide draft budget to VPBF for initial review and input

_____ 30 days before due date: provide Provost with proposal synopsis; contact IRB to establish review process within signoff timeline

Georgia Southwestern State University
Approval to Submit Proposal for External Funding

Project Title: _____ Acct # _____

Project Director: _____ Phone: _____ Department: _____

Co-Project Directors (if any): _____

Funding Source: _____

Deadlines: Proposal must be: ___ postmarked by ___/___/___   ___Received by ___/___/___

Project period (inclusive dates):   From ___/___/___   To ___/___/___

Brief layperson's description of this project: _____

Budget	Request From Funding Source	GSW Contributions	Other Sources	Total
Salaries and Wages	$ _____	$ _____	$ _____	$ _____
Fringe Benefits *(refer to last page)*	$ _____	$ _____	$ _____	$ _____
Other Direct Costs	$ _____	$ _____	$ _____	$ _____
Matching Contributions**	$ _____	$ _____	$ _____	$ _____
In-Kind Contributions**	$ _____	$ _____	$ _____	$ _____
Indirect Costs *(maximum 46% of salaries & wages only)*	$ _____	$ _____	$ _____	$ _____
Total Project Costs:	$ _____	$ _____	$ _____	$ _____

Matching/In-Kind Commitment: *The source of matching and in-kind funds must be identified and approved.*
Department _____Approved _____ $_____ Source _____

Georgia Southwestern State University's Commitment

___Yes ___No   Does GSW have any expressed or implied responsibility after the sponsor terminates support for this grant or contract? If yes, explain:
_____

_____

___Yes ___No   Is this proposal competitive?

Is the funding Federal, State or private? Circle answer.

___Yes ___No In addition to what is provided from the proposal, does the project require additional

__ personnel, __ space, __equipment, __ replacement instructors,

__ consultants, __subcontractors? If yes, explain: _____

_____

__Yes __No Is partial or full salary support requested for current GSW employees?

__Yes __No Does the proposal provide for __equipment maintenance __computer network time?

__Yes __No Does the proposal involve __human subjects, __research animals,

__drugs or controlled substances, __radiation research, __potential biohazard,

__significant computer use, __potential conflict of interest.

If yes, explain _____

I agree to abide by current University policies on conflicts of interest, misconduct in science, the use of human subjects and vertebrate animals in research and other GSW research policies as appropriate. I certify that the required actions regarding compliance have been taken, and that my associates on this project will be informed of the requirements of these policies.

Project Director _____ Date _____

Approval (must be obtained before the proposal is mailed):

Department Head _____ Date _____

School Dean _____ Date _____

Provost_____Date _____

V.P. Business & Finance_____ _____ Date _____

Signatures on this completed form indicate the proposal is in accord with the capabilities and policies of department/dean/university and complies with the Board of Regents and sponsoring agency regulations. With this approval is the permission to pursue outside funding for this project. The University reserves the right to review awards before final acceptance of funding.
For proposal and policy tracking purposes, send:

__**a copy of the routing sheet, proposal and budget sheet to the: <u>Provost and Vice President for Academic Affairs, Vice President for Business and Finance</u>, and the <u>Comptroller</u>.**

FY _____ PROJECT/GRANT BUDGET

PROJECT/GRANT NAME:	
PROJECT/GRANT NUMBER:	

Account Description	Budgeted Amount
Personal Services	
Faculty	
Part Time Faculty	
Summer Faculty	
Graduate Assistants	
Professional & Administrative Staff (monthly)	
Part Time Administrator	
Staff (biweekly)	
Overtime	
Part Time Clerical Staff	
Student Assistant	
FICA	
FICA MED	
Retirement	
Health Insurance	
Basic Life	
Non-Personal Services	
Travel	
Supplies & Materials-Office	
Supplies & Materials-Postage	
Supplies & Materials-Other	
Repairs & Maintenance	
Rentals-Non RealEstate	
College Work Study	
Dues & Membership	
Software	
Printing & Publications	
Equipment Non Inventory	
Per Diem-Consultant	
Per Diem-Other	
Per Diem-Reimbursable Expense	
Telecommunications-Local	
Telecommunications-Toll	
Total Budget	

Calculation of Fringe Benefits

Please contact the Business and Finance Office/Payroll Office for up-to-date calculations of Fringe Benefits for the positions listed below

- For a new full time position

- For faculty additional pay

- For Part Time Faculty

- For Summer Faculty

- For Graduate Assistants no fringe benefits are calculated

- For Professional/Admin

- For Part Time Administrator (monthly employee)

- For overtime

- For Part Time Clerical Staff

- For Student Assistants no fringe benefits are calculated

INSTITUTIONAL REVIEW BOARD POLICIES AND PROCEDURES

THE INVESTIGATOR'S GUIDE TO RESEARCH
INVOLVING HUMAN SUBJECTS

INSTRUCTIONS FOR RESEARCH PRESENTATION TO THE INSTITUTIONAL
REVIEW BOARD OF GEORGIA SOUTHWESTERN STATE UNIVERSITY

INTRODUCTION

The Institutional Review Board for Human Use (IRB) is a committee that reviews all research involving human subjects conducted at Georgia Southwestern State University (GSW). The aim of IRB review is to assure that research is conducted in an ethical manner. This includes ensuring that risks to subjects are minimized, selection of subjects is equitable, and subjects are informed fully of what their participation will involve.

The IRB staff reviews all applications for extramural support as part of the review by the Office of Institutional Research. The staff verifies whether or not the application involves human subjects. For studies involving human subjects, the staff confirms that the study has IRB approval or, if it requires review, provides the appropriate forms for submission with the application.

It is GSW policy that **no research involving human subjects may be undertaken until approval has been granted by the IRB**. For these purposes, human subjects are defined as not only living persons, but also human tissue, blood samples, pathology or diagnostic specimens, and medical records. Research is defined as a systematic investigation designed to develop or contribute to generalized knowledge. These guidelines also apply to student projects done for classes or independent study. However, in-class demonstrations done for the purpose of illustrating a specific educational concept (e.g., research design, sampling bias, memory) do not.

An application for review of a research project involving human subjects is processed by the IRB in one of three ways:

1. Exempted Review Application

2. Expedited Review Application

3. Full Review Application

All IRB materials and correspondence should be submitted to the IRB Chairperson. Investigators who require contact information for the IRB Chairperson should request that information from the Office of Academic Affairs, Room 205, Administration Building, (229) 928-1361.

[1]For all investigators:

All investigators are required to complete National Institute of Health (NIH) training or Collaborative Institutional Training Initiative (CITI) training, available for three years. A copy of the NIH or CITI certificate must be submitted every time investigators submit an IRB proposal. Georgia Southwestern State University (GSW) does not offer CITI training; however GSW accepts CITI training certificates gained at/through other institutions.

For all IRB committee members:

IRB committee members are required to complete and submit proof of NIH or CITI certificate to the IRB Committee Chair at irb@gsw.edu. The certificate is good for two years.

For your convenience, the link to NIH training is listed below.

NIH training https://phrp.nihtraining.com/users/login.php

[1]Approved by GSW Faculty 05/01/2015

SPECIAL APPROVALS

<u>Other Institutions</u>

If subjects from another institution (hospital, school, business, etc.) comprise all or part of the population for this study, or if any part of the research will occur on the grounds of another institution, it is necessary to provide written documentation that the other institution approves of the research to be conducted. If the other institution has its own IRB or research review panel, then that IRB or panel must approve the study, and a copy of its approval must be attached to the GSW IRB application. If the other institution does not have its own IRB or review panel, then written approval should be obtained from an authorized official of that institution and submitted along with the GSW IRB application. If it is not possible to obtain the other institution's written approval prior to submission of materials to the GSW IRB, then a statement of preliminary contacts with the appropriate officials should be attached to materials submitted for GSW IRB review. Approval from the other institution does not guarantee GSW IRB approval. Furthermore, a project that receives GSW IRB approval but does not receive approval from the other institution cannot be conducted at that institution; GSW IRB approval does not "override" the approval of the other institution.

<u>Research Conducted at a Veterans Administration Medical Center</u>

All research conducted at a Veterans Administration Medical Center (VAMC) involving human subjects is reviewed not only by the IRB, but also by the VAMC's Research and Development Committee. Research protocols may be reviewed concurrently by both the GSW IRB and the VAMC's Research and Development Committee. Both the GSW IRB and the VAMC must approve the project before it can be conducted, and these approvals are considered and granted independently.

<u>Advertisements</u>

Advertisements that incorporate the GSW name or logo must be approved by the Office of University Relations as well as the IRB. Investigators should contact University Relations at 931-2028. Advertisements should be limited to the following information:

1. The name and address of the investigator;

2. The purpose of the research and a summary of the eligibility criteria;

3. A description of the benefits;

4. The location of the research; and

5. The person to contact for further information.

GENERAL INFORMATION

<u>Inclusion of Women and Minorities in Research</u>

Women and minorities are often underrepresented in research. Their inclusion is important to ensure that they receive an appropriate share of the benefits of research. Moreover, their inclusion facilitates the generalization of research results. Therefore, investigators must include the widest possible range of population groups in their subject pool. If the phenomenon to be studied may affect one gender or minority group differently, investigators should cite research evidence or lack thereof and describe how the proposed research addresses that evidence. Investigators should be prepared to describe the extent to which both genders and persons of various ethnic and racial backgrounds are or have been involved in similar research. **Please note in the protocol if potential participants will be recruited without regard to gender and/or race.**

<u>Duration of IRB Approval</u>

IRB approval is given for one year, unless otherwise specified, commencing with the approval date. **Research activities may not continue past the one-year anniversary of the IRB approval date.** For certain projects with unusual risks, the IRB may specify a period of approval shorter than one year. In all cases, the investigator will receive a letter indicating the approval date or listing any required modifications upon which approval is contingent. In addition to the approval form, the investigator will receive one copy of the consent form stamped with the IRB approval date. Copies of this stamped consent form <u>must</u> be used for study participants. If modifications to the protocol are required by the IRB, approval is contingent upon the IRB receiving written notice from the investigator specifying that the changes have been made. IRB approval will not be issued until the required changes have been reviewed and approved, and the period of approval will commence with the date on which the changes were approved.

Renewal notices are issued by the IRB Chairperson prior to the protocol approval expiration date. However, **the investigator is responsible for monitoring approval and expiration dates and ensuring that necessary renewal forms are submitted on time.**

<u>Amendments or Changes to the Protocol and/or the Consent Form</u>

The investigator must report to the IRB any modifications in the consent form, study methodology, and/or protocol. This report should take the form of a memo submitted to the IRB Chairperson describing the proposed changes and their effects on the current protocol. These changes must be reported <u>before</u> they are implemented. If the consent form is being changed for any reason, a copy of the revised consent form should be submitted with all changes highlighted. IRB approval may be rescinded if the modifications to the protocol or consent form are considered to render the study unethical.

<u>Adverse Effects or Unanticipated Problems</u>

The investigator must report promptly to the IRB any research-related injuries to human subjects or any unanticipated risks to subjects or others at participating sites. Any research project that results in unexpected serious physical, psychological, or emotional harm to the subjects must be terminated immediately. If the research involves an investigational new drug or device, the investigator must also report such incidents to the sponsoring agency and/or the FDA.

THE INFORMED CONSENT PROCESS

Informed consent is one of the primary ethical considerations underlying research with human subjects. Informed consent is not just a piece of paper that must be signed, but rather an ongoing educational process that takes place between the investigator and prospective subject. In most cases, federal regulations require that informed consent be documented. It should be reiterated, however, that the consent document does not substitute for discussion. A potential subject's assent (verbal or nonverbal agreement to participate in a study) is insufficient; the informed consent form should be signed for <u>all</u> subjects.

Appendix A contains a prototype of the standardized consent form and a sample consent form that adheres to the guidelines stated on the prototype and on pages 4-7. Below are instructions for preparing the consent form. Please follow all instructions carefully.

1. Use the standardized consent form (Appendix A). Items with asterisks may be deleted if they are not applicable.

2. The language in the form should be aimed at a sixth-grade reading level. Do not use technical jargon.

3. If the research involves the participation of minors (under 14 years of age), please read the section "Description of Requirements for Research Involving Children."

4. If the research involves pregnant women, both the mother and father must give consent after having been fully informed regarding the potential impact of the research on the fetus. (NOTE: Federal regulations do specify certain conditions under which the father's consent is not necessary. For a list of those conditions, see the following section on "Signatures.")

5. If the research could possibly put at risk an unborn child or a man or woman's ability to procreate, the following statement(s) (revised to meet the needs of your particular study) should be included in the consent form:

   "If I am pregnant, I cannot participate in this study. If I am a woman of child-bearing potential, it will be necessary to have a urine test to see if I am pregnant before I start this study. If I am a sexually active male or female, I agree to take precautions to avoid the possibility of impregnation because it is not known how this drug (treatment, device, etc.) will affect an unborn child. If I become pregnant during the course of the study, I agree to notify the principal investigator of this fact as soon as possible."

6. If VA patients who have been deemed incompetent are to be enrolled in the study, additional requirements may be necessary for the consent form and additional procedures implemented to ensure the patient's rights are protected. These additional requirements can be obtained through the Research Office at the VAMC.

7. If the researcher believes that bodily fluids, tissues, or other substances of a research subject could be part of or lead to the development of a commercially valuable product, the consent form should contain the following statement:

   "By my consent to participate in this research study, I give up any property rights I may have in my bodily fluids, tissues, or substances."

   ### IRB Approval Stamp

Consent forms receiving initial approval (i.e., new applications) will be validated with an approval stamp that includes dates for which the approval is effective. Only consent forms with a valid IRB approval stamp should be used to enroll subjects.

   ### Format of Consent Forms

Consent forms should follow the standard format depicted in Appendix A. The basic elements of a consent form are listed below.

1. Explanation of Procedures: The consent form must be written in non-technical language and should contain an explanation of the study's purpose and a description of the procedures to be followed. If experimental and control groups are to be used, then the chances and consequences of being enrolled in each group must be explained.

2. Risks or Discomforts: Any reasonably foreseen risks or discomforts resulting from participation should be described. The consent form should also specify what types of treatment, if any, will be provided to subjects who receive a research-related injury and state who is responsible for providing and paying for that treatment. It should be explicitly stated that GSW has made no provisions for monetary compensation in the event of research-related injury, and that in the event of such injury, medical treatment is not provided free of charge. If a sponsoring agency has agreed to provide compensation or treatment to injured research subjects, documentation of this agreement should be submitted to the IRB along with the application.

3. Benefits: Any direct benefits to the subject, as well as general benefits that are anticipated (e.g., furthering of knowledge, help to others in similar situations in the future), should be identified.

4. Confidentiality: Methods for establishing and maintaining confidentiality should be described. If any other agency (e.g., federal government, corporate sponsor) will have access to the subjects' records, this should be indicated.

5. Withdrawal: The consent form should state any anticipated circumstances under which the subject's participation may be terminated by the investigator without the subject's consent (e.g., noncompliance with instructions). Additionally, the consequences of a subject's decision to withdraw from the research, and procedures for orderly termination of participation by the subject, should also be stated.

6. Costs and Payments to Subject for Participation: The consent form should specify any costs the subject will have to bear as a result of participation. Examples of possible costs include charges for medications, medical tests, or devices. However, medications the subject is currently taking, devices the subject already owns, or medical tests the subject has already received do not apply. The consent form should also specify the amount and nature of payment or other compensation given to the subject for research participation, as well as the conditions under which payment will not be given.

7. New Findings: The consent form should contain a statement noting that significant new findings developed or obtained during the course of the research will be provided to the subject if these findings could reasonably be expected to affect a subject's willingness to continue participation in the study.

8. Questions: The consent form should contain an offer to answer any of the subject's research-related questions and should include a specific name and telephone number of the person to whom research-related inquiries may be directed. The name and number of the person or persons to contact if the subject needs more information regarding compensation or his or her rights, or in the event of a research-related injury, should also be provided.

9. Legal Rights: The consent form should state that the subject is not waiving any legal rights by signing the form.

10. Initials: If the consent form has more than one page, then a line for the subject's initials should be included at the bottom of each individual page, except for the page which contains the signature lines.

11. Signatures: Each consent form should provide a place for the signature of the subject or that subject's legally authorized representative, a witness (not the investigator), and the investigator. The dates of receipt of these signatures should also be indicated.

For research involving children, the consent form should also provide a place for the "Assent of Child" and/or "Waiver of Assent" (see Appendix B).

For research involving people whose legal competence is questionable or who have been judged incompetent in a court of law, a signature from a guardian or other authorized representative may be substituted for the subject's. However, the subject's assent is still required unless it can be reasonably waived.

For research involving pregnant women, the consent form should include a signature line for both mother and father if they have been fully informed regarding possible impact on the fetus. The father's informed consent need not be obtained if one of more of the following situations applies:

    1.   The purpose of the research activity is to meet the health needs of the mother

2. The father's identity or whereabouts cannot be reasonably ascertained
3. The father is not reasonably available due to military duty, incarceration, etc.

4. The pregnancy resulted from rape

5. The mother has reason to believe that her safety or the safety of her unborn child would be in danger if the father were contacted

For clarification or additional information, contact the IRB Chairperson.

<u>Research Involving Children as the Subjects</u>

For research involving children, the following conditions must be met:

<u>Assent of Child</u>

Assent means the potential subject's affirmative agreement to participate in the research. Mere failure to object should not, in the absence of affirmative agreement, be construed as assent. The following list indicates how assent of children should be handled for children of different ages.

1. For children under 7 years of age, the child is assumed to be incapable of giving assent, and parental consent is all that is required for participation.

2. For children 7-13 years of age, the assent of the child or documentation of the reason for waiver of the assent is required. Assent of the child may be waived if the capability of the child to give assent is judged limited by age, maturity, or psychological state. An example signature page of a consent form for research involving children is in the Appendix.

3. Adolescents 14 years of age and over are considered able to sign a consent form as an adult.

<u>Parental Consent</u>

1. If the proposed research involves no more than minimal risk, or is of possible direct benefit to the child, the consent of only one parent is required.

2. If the research involves greater than minimal risk without direct individual benefit, permission must be obtained from both parents unless there is only one reasonable available parent. Guardian consent should be substituted for parental under appropriate legal constraints.

3. The Investigator may request a waiver of parental or guardian consent if the research design does not require such consent to protect the subjects (for example, neglected or abused children), provided an appropriate protection mechanism is substituted.

4. Special provisions must be made for children who are wards of the state or any other agency, institution, or entity to be included in research involving greater than minimal risk without direct individual benefit.

IRB EXEMPTION

<u>PROCEDURE FOR REQUESTING AN IRB Exemption</u>

It is possible to obtain exemption from IRB review for certain types of noninvasive projects, such as those involving educational tests, analyses of existing data sets, and studies of taste and food quality (see Appendix C for a complete list of exemption categories and the Exemption Application). However, exemption must be formally granted and not merely assumed by the investigator. To apply for exemption

from IRB review, the investigator must complete one copy of the Exemption Application (Appendix C) and return it to the IRB Chairperson. If a questionnaire is to be used, one copy should be attached to the application.

Consent forms may not be necessary if the study falls into categories 2, 3, and/or 4 on the Exemption Application. However, investigators are encouraged to design consent forms for all studies, even those for which an exemption will be requested.

If the investigator will be using pathological or diagnostic specimens, a release form is required from the agency responsible for providing the specimens. The specimen release forms should be attached to the IRB exemption application form.

There are no deadlines for submission of Exempted Review applications; however, investigators should allow at least one month for the application to be processed and approved. If there are any questions regarding the exemption application, please the IRB Chairperson. The completed application form should be mailed or delivered the IRB Chairperson.

Exempted Review for Research Involving Children

Exempted review category 2 (survey or interview procedures) on the Exemption Application form cannot be applied to research proposals involving children (persons under 14 years of age) as subjects. In addition, category 3 is applicable to research involving children only where the investigator does not participate in the activities being observed.

EXPEDITED REVIEW

Procedures and General Information for Expedited Review

Expedited review is intended for research activities which involve no more than minimal risk to the human subjects and which can be placed in one or more of the ten categories listed on the application form (see Appendix D).

To apply for expedited review, the investigator must submit the following materials to the IRB Chairperson:

1. The Expedited Review application (Appendix D) with a check by the category or categories which he/she is claiming for Expedited Review

2. A copy of the Expedited Review Human Subjects Protocol (Appendix E)

3. A copy of the consent form (Appendix A, and B if necessary)

If a questionnaire is to be used, the investigator should attach a copy to this application.

If the investigator will be using pathological or diagnostic specimens, a release form is required from the agency responsible for providing the specimens. The specimen release should be attached to the application form.

The original Expedited Review application and **two copies** must be submitted. All materials should be submitted to the IRB Chairperson. There are no deadlines for submission of Expedited Review applications; however, investigators should allow at least one month for the application to be processed.

<u>Expedited Review for Research Involving Children</u>

Expedited review is <u>not</u> allowed for research where children (persons under 14 years of age) are the subjects. In addition, for categories 3 and 4 on the Expedited Review application (Appendix D), expedited review is not allowed unless the subjects are over 18 years of age.

IRB FULL REVIEW

Projects that involve investigational drugs or devices, or extensive and/or invasive data collection, require full IRB review. Full Review may also be required for projects involving children, adults with cognitive impairment, or people of any age who are deemed to be "vulnerable populations" due to inability to freely give informed consent.

<u>Instructions for IRB Submission</u>

The instructions and forms necessary for IRB Full Review can be found on the following pages. The attached forms may be reproduced as necessary.

The IRB meets on the second Wednesday of each month. All materials should be submitted to the IRB Chairperson at least two weeks prior to the meeting. Should holidays appear to conflict with meetings or deadlines, please contact the IRB Chairperson for clarification. Investigators are welcome to attend IRB meetings, but are not required to do so. If an investigator plans to attend the meeting, he/she should notify the IRB Chairperson. The following list briefly describes the procedures to be undertaken by the investigator prior to submission to the IRB.

1. Complete the Human Subjects Protocol (Appendix F).

2. Obtain any special approvals that may be required.

3. Develop a consent form in compliance with IRB standards.

4. Submit the following materials to the IRB committee chair prior to the deadline at irb@gsw.edu.

    A. The original Human Subjects Protocol (Appendix F) signed by the investigator(s);
    B. The consent form (Appendix A, and B if necessary);
    C. Any questionnaire to be used;
    D. Any recruitment materials, including advertisements;
    E. The sponsor's protocol, the grant/funding application, and/or scientific evaluations, if any, that accompany the protocol;
    F. Any special approvals.

THE HUMAN SUBJECTS PROTOCOL

The human subjects protocol as shown in Appendix F enables the investigator to furnish considerable background information with a minimum of effort. Since a single protocol is used for all types of research requiring full review, some questions may not be applicable to the proposed study. Where questions do not apply, enter "NA" in the space provided.

The IRB prefers that the forms provided in this guidebook be used for submitting protocols for review. However, many investigators find it convenient to print the text of the IRB forms on a word processor. This

is acceptable, but the IRB insists that responses to the questions be clearly distinguished from the questions themselves (by a different font, type size, etc.). Also, the pages should be in the same format as those provided in this guidebook.

The investigator must complete the entire protocol, including the outlined sections shown as items 11-14. Use additional pages as necessary to discuss each topic fully. Grant applications and/or sponsor's protocols will not be accepted in lieu of answering the questions outlined in the instructions. Since many members of the IRB are by law nonprofessional, and even the professional members have technical expertise in limited areas, the use of understandable, nontechnical language is essential.

Renewal Instructions

For multi-year projects, annual IRB approval is required. Studies in which no new subjects are being entered, but one or more persons are being followed, still require renewal of the IRB approval. For renewal of IRB approval, the principal investigator must submit to the IRB the following materials:

1. The original of the Investigator's Progress Report (Appendix G);
2. The most recently approved consent form, minus the previous IRB approval stamp;
3. The complete protocol including any modifications previously approved; and
4. Any progress reports sent to the sponsoring/funding agency.

The renewal materials should be collated into ten separate sets, with each set having one Progress Report and one consent form. Each set should be securely fastened, preferably with a standard staple. The copies of the protocol and/or agency progress reports should be included in the packets.

Renewal Instructions for Protocols Closed to Patient Accrual

For renewal of protocols where subjects are still participating in the study and/or receiving treatment, but no new subjects will be enrolled, the investigator should submit the original and ten copies of the Progress Report and ten copies of the complete protocol, including any modifications previously approved. Question #9 of the Progress Report should note that the protocol is open for follow-up purposes only.

For renewal of protocols where all subjects have completed the study but long-term survival follow-up is being continued, the investigator should submit the original and 10 copies of the Progress Report, noting on Question #9 of the Progress Report that the protocol is open for long-term survival follow-up purposes only.

Final Report Instructions

If the project is completed, submit ten copies of a Final Progress Report. Use the form for the Investigator's Progress Report (Appendix G) and add the word "FINAL" to the top of the form. The Final Progress Report should include the following:

1. State the final number of subjects entered into the study at GSW.

2. State any side effects or problems that occurred since the last report to the IRB.

3. Describe the positive and negative results of the study.

SAMPLE CONSENT FORM

(Leave space for IRB Stamp in upper right-hand corner. Use the format specified below. Items in italics may be deleted if not applicable. All other items should be included. Also, include any applicable items listed on the preceding instructions. Delete instructions and inapplicable italicized items before submission.)

CONSENT TO PARTICIPATE IN A RESEARCH STUDY

_____
(Full Institution Name)

TITLE OF STUDY:

_____
(If the study involves an external agency, list official sponsor protocol title)

INVESTIGATOR INFORMATION:

_____
(Principal Investigator Name)   (Telephone Number)

I, _____, have been asked to participate in a research study under the direction of _____ _____ *and the medical supervision of Dr.*_____. Other professional persons who work with him/her/them as study staff may assist or act for him/her/them.

PURPOSE:

I understand that I have _____,:
(Medical Diagnosis)
which makes me eligible to participate in this research study.

The purpose of this research study is _____.

DURATION AND LOCATION:

(Describe the expected duration of the subject's participation in the study and the location of the project [e.g., Georgia Southwestern State University, Sumter Regional Hospital].)

_____
Subject Initials

My participation in this study will last for approximately _____.

The study will be conducted at _____.

PROCEDURES:

I have been told that during the course of this study, the following will occur:

_____

_____

_____

_____

The following procedures/devices are considered to be investigational:

_____

EXCLUSIONS

I should not participate in this study if any of the following apply to me:

_____

_____

_____

RISKS/DISCOMFORTS:

I have been told that the study may involve the following risks and/or discomforts:

_____

_____

_____

There also may be risks and discomforts that are not yet known.

BENEFITS:

OPTION #1

I have been told that the direct benefits to me of participating in this study may be:

_____

_____

_____

_____
Subject Initials

However, I may receive no benefit from participating in this study.

(OR)

OPTION #2

I have been told that I will receive no direct benefit from my participation in this study, but my participation may help health care practitioners/psychologists/business researchers/etc. better understand:

_____

_____

ALTERNATIVE PROCEDURES OR TREATMENTS:

The following alternative procedures or treatments are available if I choose not to participate in this study:

_____

_____

NEW FINDINGS:

I have been told that I will receive any new information during the course of the study concerning significant findings that may affect my willingness to continue my participation.

CONFIDENTIALITY:

Every effort will be made to maintain the confidentiality of my study records. The data from the study may be published; however, I will not be identified by name. My identity will remain confidential unless disclosure is required by law.

Agents of Georgia Southwestern State University and/or any external agency (including any sponsoring agency) will be allowed to inspect sections of my medical and research records related to this study.

I have been informed that because this study involves articles regulated by the FDA (Food and Drug Administration), the FDA may choose to inspect records identifying me as a subject in this study. I authorize review of the pertinent sections of my records for this purpose only.

_____
Subject Initials

COSTS TO THE SUBJECT:

I understand that if I am a patient at the VAMC, I may be subject to charges (co-payment) for which the VA will not pay.

COMPENSATION IN CASE OF INJURY:

I understand that in the event of injury resulting from the research procedures, no form of compensation (i.e., payment) is available from Georgia Southwestern State University. Medical treatment may be provided at my own expense; or at the expense of my health care insurer (e.g., Medicare, Medicaid, BC/BS), which may or may not provide coverage. If I have questions, I should contact my insurer.

In the event of emergency resulting from the research procedures, _____
(sponsoring agency)
will provide reimbursement for the reasonable costs of medical treatment to the extent that the costs are not covered by my insurance or by third party or government program providing coverage.

PAYMENTS TO PARTICIPANTS:

I have been told that I will receive _____ for my participation in this study.

RIGHT TO REFUSE OR WITHDRAW:

I understand that I do not have to take part in this study, and my refusal to participate will involve no penalty or loss of rights to which I am entitled. I may withdraw from this study at any time without penalty or loss of any benefits to which I am entitled.

I also understand that the investigator has the right to withdraw me from the study at any time. I understand that my

withdrawal from the study may be for reasons related to me (e.g., not following the study-related directions, a serious study-related injury) or because the entire study has been terminated.

I understand that _____ *has the right to terminate the study or the*
      (sponsoring agency)
investigator's participation in the study at any time.

<div align="right">

_____
Subject Initials

</div>

OFFER TO ANSWER QUESTIONS:

If I have questions about this study, I may call _____ at _____.

If I have questions about my rights as a research subject, I may call _____ at _____

If a research-related injury occurs, I will call _____ at _____.

SIGNATURES:

I understand my rights as a research subject and I voluntarily consent to participate in this study. I understand what the study is about and why it is being done. I will receive a signed copy of this consent form.

_____   _____
Signature of Research Subject   Date
(or legally authorized representative)

_____   _____
Signature of Witness   Date

_____   _____
Signature of Investigator   Date

APPENDIX B

SAMPLE SIGNATURE PAGE OF CONSENT FORM FOR RESEARCH INVOLVING CHILDREN

You are making a decision whether or not to have your child participate in this study. Your signature indicates that you have decided to allow your child to participate, that you have read (or been read) the information provided above and that you have received a copy of this consent form.

_____   _____
Signature of Parent   Date
or Person Responsible

_____   _____
Signature of Investigator   Date

_____   _____
Signature of Witness   Date

Assent of Child

_____ (name of child) has agreed to participate in

_____
(title of research project)

_____   _____
Signature of Parent   Date

Waiver of Assent

The assent of _____ (name of child) was waived because of

_____   Age

_____   Maturity

_____   Psychological state of the child

_____   _____
Signature of Parent   Date

IRB EXEMPTION APPLICATION

(Please type)

Title of Project_____

Principal Investigator_____ Phone_____

Investigator's Signature_____ Date_____

Campus Address___ _____

Source of Funds (State specific name of funding source):

Government Agency_____ Foundation_____

Corporation_____ Other_____

Mark the category or categories below that describe your research:

__1.   Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

__2.   Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior. An exemption cannot be granted if: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifies linked to the subjects; or (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

__3.   Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under category 2, if: (a) the human subjects are elected or appointed public officials or candidates for public office; or (b) one or more federal statutes require without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

__4.   Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified either directly or through identifiers linked to the subjects. Attach a specimens release form if applicable.

__5.   Research and demonstration projects which are conducted by or subject to the approval of department of agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

__6.   Taste and food quality evaluation and consumer acceptance studies, if (a) wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Please give a brief description of your project to explain the exemption:

_____

_____

_____

_____

_____

_____

_____

_____

APPENDIX D

IRB EXPEDITED REVIEW APPLICATION

(Please type)

Principal Investigator_____

Title of Project_____

_____

Please indicate by checking the appropriate space below the category or categories into which you believe your project falls:

__1.   Collection of hair and nail clippings in a non-disfiguring manner, deciduous teeth; and permanent teeth if patient care indicates a need for extraction.

__2.   Collection of excreta and external secretions including sweat, uncannulated saliva, placenta removed at delivery, and amniotic fluid at the time of rupture of the membrane prior to or during labor.

__3.   Recording of data from subjects 18 years of age or older using noninvasive procedures routinely employed in research or clinical practice. This includes the use of physical sensors that are applied either to the surface of the body or at a distance and do not involve input of matter or significant amounts of energy into the subject or an invasion of the subject's privacy. It also includes such procedures as weighing, testing sensory acuity, electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, diagnostic echography, and electroretinography. It does not include exposure to electromagnetic radiation outside the visible range for (for example x-rays, microwaves).

__4.   Collection of blood samples by venipuncture, in amounts not exceeding 450 milliliters in an eight-week period and no more often than two times per week, from subjects 18 years of age or older and who are in good health and not pregnant.

__5.   Collection of both supra- and subgingival dental plaque and calculus, provided the procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques.

__6.   Voice recordings made for research purposes such as investigations of speech defects or subject's responses to questioning.

__7.   Moderate exercise by healthy volunteers.

__8.   The study of existing data, documents, records, pathological specimens, or diagnostic specimens.

__9.   Research on individual or group behavior or characteristics of individuals, such as studies of perception, cognition, game theory, or test development, where the investigator does not manipulate subjects' behavior and the research will not involve stress to the subjects. Research involving sensitive matters such as sexual or political behavior may require full review. Expedited review is not appropriate if the subjects' responses, if known outside the research, could place them at risk of civil or criminal liability or damage their financial standing or employability.

__10.   Research on drugs or devices for which an investigational new drug exemption or an investigational device exemption is not required. NOTE: The Board may request full review if in their opinion the subject will be at greater than minimal risk.

_____   _____   _____

Signature of Investigator   Date   Department   Building

                                            Room   Phone

This space for IRB use only.

Reviewer's comments:

Signature of Reviewer   Date

APPENDIX E

HUMAN SUBJECTS PROTOCOL FOR EXPEDITED REVIEW

(Please type)

Title of Project_____

_____

A.   General Information

   1.   Investigator

      a.   Name of principal investigator_____

            Signature of principal investigator_____

            Date_____ Phone_____

            Address_____

            Qualifications of investigator_____

            _____

      b.   List the name, rank, and major departmental appointment of other
            investigators participating in this project, if any. Use additional sheets of
            paper if necessary.

            NONE_____

            OTHERS_____

            _____

      c.   If medical supervision is necessary, give the name of the physician who
            will be responsible for supervision.

            _____ Phone_____

   2.   Type of proposal or activity: ( ) New   ( ) Renewal

      Date of last IRB approval_____

      If this proposal is part of a grant, please indicate the following:

      Name of grant:_____

      _____

      Principal investigator of grant:_____

   3.   Source of funds: State specific name of funding source.

      Governmental agency or agencies_____

      Foundation(s)_____

Corporation(s)_____

Organization(s)_____

Individual(s)_____

None ( )   Internal ( )

B.   Number and Type of Subjects and Controls

1.   Number of subjects and controls_____

_____

2.   Type of subjects and controls_____

_____

3.   Populations from which derived_____

_____

4.   This study includes:

Prisoners _____   Fetuses _____   Abortuses _____Pregnant women _____
Minors under   People with mental illness   _____
14 years of age   _____   People with mental retardation _____
None of the above _____

If any of the populations above are involved, attach a statement indicating the reasons for using these groups.

6.   Other institutions: Will any of the subjects be from a Veterans' Administration
Hospital?
Yes___   No_____

Will any of the subjects be from hospitals or other institutions?
Yes___   No_____

Name of institution(s)_____

C.   Location and Duration of Study

Location of study_____

Probable duration of entire study_____

Total amount of time each subject will be involved_____

D.   Abstract of Research Plan

1.   Briefly describe the objectives and methodology of this project in lay language. Do not exceed the space
provided.

_____
_____
_____
_____
_____
_____
_____
_____
_____

_____
_____
_____
_____
_____
_____
_____
_____
_____

2.   Risks and precautions: List any possible physical, psychological, and social risks. Describe any special precautions to be taken to avoid these risks.

_____
_____
_____
_____
_____
_____
_____
_____
_____

3.   Confidentiality: Describe the procedures to be used to maintain confidentiality.

_____
_____
_____
_____
_____
_____
_____
_____

APPENDIX F

HUMAN SUBJECTS PROTOCOL FOR FULL IRB REVIEW

(Please type)

1.   Type of Project:_____

_____

_____

2.   Name of Principal Investigator:_____

Signature of Investigator: _____   Date _____

Address: _____   Phone _____

Qualifications of Investigator: _____

_____

List the name, rank, and major departmental appointment of other investigators participating in this project, if any. Use a separate sheet of paper if necessary.

NONE _____   OTHERS _____

_____

If medical supervision is necessary, give the name of the physician who will be responsible for the supervision: ___

_____

Phone _____

3.   If this study is part of a grant, please indicate the following:

Grant Title:_____

_____

_____

_____

Principal Investigator of Grant:_____

4.   Source of Funds: State specific name of funding source.

Governmental
Agency or Agencies   _____

Foundation(s)   _____

Corporation(s)   _____

Organization(s)   _____
Individual(s)   _____

Other   _____

None ( )

5.   Location of Study:

Name of Institution   _____

Type of Room   _____

If the project is a field study, describe the community on the lines below. If the study is to be undertaken within a school, business, or other institution that does not have a review board, attach a statement of any contacts with the appropriate officials.

_____

_____

_____

6. Drugs:

    A.   Is this study a phase I, II, III, or IV drug study? If yes, please indicate:
        Phase I _____   Phase II _____
        Phase III _____   Phase IV _____

    B.   Does this project involve the use of an investigational new drug?

        YES _____   NO _____

        If yes, attach the Pharmacy Department Release Form and provide the name of the drug and the IND number:

        Name of Drug _____

        IND Number _____

        Date of end of 30-Day Expiration or Waiver _____

        If an investigational new drug is involved, but an IND number has not been issued, what are the plans of the Principal Investigator for securing an IND from the FDA? _____

        _____

        _____

    C.   Does this project involve the use of any commercially available drugs? If yes, attach the Pharmacy Department Release Form and please provide the drug names:

        _____   _____
        _____   _____
        _____   _____

7. Devices:

    A.   Does this project involve the use of an investigational new device?

        YES _____   NO _____

        If yes, provide the name of the device and the investigational device exemption (IDE) number:

        Name of Device _____

        IDE Number _____

        For projects involving investigational new devices which are considered non-significant risk devices, attach a letter from the sponsor discussing the reasons for the classification.

8. Approvals:

    A.   Does this project involve the use of radioisotopes?

        YES _____   NO _____

        If yes, has the Isotope Committee given approval?

YES _____   NO _____

Attach documentation of Isotope Committee approval.

B.   Does this project involve the use of biopsy or surgical material?

YES _____   NO _____

If yes, has the department providing the specimens given approval?

YES _____   NO _____

Attach documentation of departmental approval.

C.   Have other review boards reviewed this project (including departmental review committees who authorize the uses of their patient populations)?

YES _____   NO _____

If yes, provide the name of the review board and the date of approval:
_____

If the study was rejected, give the reasons:_____
_____
_____ _____

9.   Number and Type of Subjects and Controls:

A.   Number of Subjects and Controls:_____

B.   Type of Subjects and Controls:_____

C.   Population from which derived:_____
_____
_____

D.   Indicate which of the following special populations will be involved in the Project:

Prisoners	_____	Fetuses	_____
Abortuses	_____	Pregnant women	_____
Minors under 14 years of age	_____	People with mental illness	_____
None of the above	_____	People with mental retardation	_____

If any special populations listed above are involved, state reasons for using the special populations:_____
_____
_____

List any persons who will be at risk other than those directly involved in the study:_____
_____
_____

E.   Will any of the subjects be from a Veteran's Administration Hospital?

YES _____   NO _____

162

10. Duration of Study

    A.   Probable duration of entire study_____

    _____ _____

    B.   Total amount of time each subject will be involved:_____

    _____ _____

    C.   Duration of each phase in which the subject will be involved:

    _____

    _____

11. Purpose, Background, and Study Methodology: (<u>items 11-14 should be discussed on separate sheets of paper</u>).

    A.   Purpose of Project or Activity in <u>LAY LANGUAGE</u>.

    B.   Background: Describe past experimental and/or clinical findings leading to the formulation of this study. Include and past or current research by the principal Investigator.

    C.   Study Methodology:

        1.   Describe the study methodology <u>that will affect the subjects</u>, particularly in regard to any inconvenience, danger, or discomfort.

        2.   List the procedures, the length of time each will take, and the frequency of repetition.

        3.   Attach a copy of any interview or questionnaire that will be used.

12. Risks and Precautions

    A.   Possible Risks - Physical, Psychological, and Social:

        1.   Estimate their frequency, severity, and reversibility.

        2.   Describe any alternative treatments.

        3.   Describe any withholding of normal treatment.

        4.   What is the risk-benefit ratio?

    B.   Special Precautions:

        1.   Describe precautions that will be taken to avoid hazards and the means for monitoring to detect hazards.

        2.   State the point at which the experiment will be terminated if hazards materialize. Differentiate between the point for termination of the involvement of an individual subject and for the termination of the entire study.

        3.   Describe the method of screening potential subjects and controls, and the factors that will be the basis for excluding potential subjects from the study.

        4.   If an agent or therapy is being assessed, indicate the point at which the differences in outcomes between subjects and controls will be considered sufficiently significant to eliminate the need for additional subjects, or to require modification of the disclosure made to continuing and prospective subjects because of greater information concerning relative risks.

        5.   State whether the potential subject will be, or will have been, in a stressful, painful, or drugged condition. If yes, describe the proposed precautions to overcome the effect of the condition on the

consent process.

6.   If the time period between informing the subject and soliciting a decision is less than twenty-four hours, describe the time sequence desired and the reasons why the twenty-four hour minimum would handicap the effective conduct of the study or would be disadvantageous to the subject.

13.   Procedures to Maintain Confidentiality

A.   Will any information derived from this study be given to any person or group, including the subject? If yes, describe to whom the information will be given and the nature of the information.

B.   Describe the procedures for maintaining confidentiality.

14.   Other Information

APPENDIX G

INVESTIGATOR'S PROGRESS REPORT

Principal Investigator:_____   Today's Date_____

Protocol Title: _____
_____
_____

1.   Briefly describe the purpose of the study (2-3 sentences).

_____
_____
_____

2.   Starting Date of Project:_____

Date of Last Approval by IRB_____

3.   Subjects

a. How many subjects* have been <u>screened</u> for entry since the start of the
project?   _____

b. How many subjects* have been <u>entered</u> into the study since the start of the
project?   _____

c. How many subjects* have been <u>entered</u> into the project since the last IRB
review?   _____

* For projects being conducted at multiple institutions, the numbers should be for subjects entered at Georgia
Southwestern State University.

4.   State any side effects or untoward events that have occurred:

_____
_____
_____
_____

5.   Have you had any problems obtaining informed consent?

_____
_____
_____

6.   Modifications to Protocol

a. Have you made modifications to the protocol which affect subject treatment?

Yes_____   No_____

If yes, have the changes been approved by the IRB?   Yes_____   No_____

b. State any changes to the protocol you wish to request at this time:

_____
_____
_____
_____

7.   What preliminary findings or evaluations of the study have you received? State both the positive and negative

results received at this time.

_____

_____

_____

Attach to this Progress Report a copy of your current consent form and a copy of a memo from your Project Review Panel addressing the following questions:

1.   Has the Panel's assessment of the risk-benefit ratio of this project changed? If yes, please explain.

2.   Does the Panel have any recommendations regarding the protocol or the consent form?

X.   APPENDIX

2024-2025

A. Academic Calendar and Academic Affairs Calendar
B. Faculty Meeting Dates
C. Regents System Academic Advisory Committee Representatives for 2024-2025
D. Faculty Committees- 2024-2025
E. University Statutes
F. Academic Affairs Organizational Chart
G. Graduate Assistant Evaluation Form
H. Faculty Development Grant Proposal Form

CALENDARS:

Academic Calendar: https://www.gsw.edu/academics/calendars/academic

Academic Affairs Calendar: https://www.gsw.edu/academic-affairs/calendar

FACULTY MEETING DATES
(dates are subject to change)

2024-2025

TBD

OTHER MEETINGS MAY BE HELD AS NEEDED
DURING THE ACADEMIC YEAR

Regents Academic Advisory Committee Representatives for 2023-2024

Please visit the follow URL for information on the Regents Academic Advisory Committee;
https://www.usg.edu/committees/campus_representatives/gsw

(Prepared July 1, 2025)

ADMINISTRATORS

Michelle R. Johnston, President
Jill Drake, Provost and Vice President for Academic Affairs and Dean of Faculty
Jeff Hall, Vice President for Business and Finance
Gaye Hayes, Interim Vice President for Student Engagement and Success
Michael Leeder, Director of Athletics

FACULTY
(Administrators who are Members of the Faculty)

Davis, Bryan P., Associate VPAA and Director, Institutional Effectiveness and Planning
Drake, Jill, Provost and Vice President for Academic Affairs
Hayes, Gaye, Interim Vice President for Student Engagement and Success
Johnston, Michelle R., President
Leeder, Michael, Director, Athletics
Mallett, Brian, Director, Institutional Research
Smith, Krista P., Registrar

FACULTY (Corps of Instruction)

COLLEGE OF ARTS & SCIENCES

Laughlin, Mark **Dean**
Dahlgren, Paul **Associate Dean**

Department of Biology
Amarachintha, Surya
Brown, Ian M.
Harvey, Stephanie G. **Chair**
Jacobs, Anne
Lorenz, Tom
Scanlon-Richardson, Kaylyn
Tu, Anh-Hue T.
Wright, Lee

Department of Chemistry, Geology, and Physics
Gurnack, M. Elizabeth **Chair**
Iordanov, Tzvetelin D.
Iordanova, Nedialka I.
Kostov, Svilen D.
Peavy, Sam,
Smith, Michele L

Department of English & Modern Languages
Argo, Elizabeth Blue
Bryan, Eugenia P.,
*Dahlgren, Paul G.
Dave, Anish M.
Dearmin, Penny
*DiPaula, Lauren
Ellis, Kevin
Godoy, Olga
Kaus, Alaina
Moir, Michael **Chair**
Rogers, Lydia G
Russell, Jesse
*Ryer, Jennifer
Waldrop, Milton J
Yeung, Alwen

Department of History & Political Science
Berggren, D. Jason
Bragg, Susan L.
LeJeune, John
Martin, Paula J.
Parkinson, Brian R.
Robins, Glenn M. **Chair**
Smith, Brian G.

Department of Mathematics
*Ghimire, Kailash C.
*Gugg, Chadwick A., **Chair**
 Franklin, Jason
*Qi, Dongwen
 Swords, Jeffrey
*Thapa, Manoj
 Zarzutzki, Daniel F.

Department of Music, Communication, and Emerging Media
Carter, Jonathan
Laughlin, E. Mark
Martin, Lenard
Megginson, Julie E. **Chair**
Nichols, Annie Laurie
Shiller, Elizabeth
Yeung, Alwen

Department of Psychology & Sociology
Bell, Brandon
Cho, Yongwen
Comeau, Joseph
Cotter, Ellen M.
Fisk, Gary D.,
Ghosh, Debaleena
Grissett, Judy Orton
MacLennan, Jamie I. **Chair**
Merritt, Sally
Palmer, Debra

Department of Visual Arts
Hodges, Justin
Robinson, Laurel J., **Chair**
Wells, Charles R.
Wynn, Keaton E.

COLLEGE OF BUSINESS AND COMPUTING

Cheokas, Gaynor, **Dean**
Perry, Shannon, **Assistant Dean of Online Learning**
Aller, James, **Associate Dean of Graduate Programs**
Bishop, Carol, **Associate Dean of Undergraduate Programs**

Department of Business
*Aller, Jim
 Banerjee, Soumendra
*Bennett, Robert
*Bishop, Carol
*Brown, Allen
 Chatham, Melinda
*Cheokas, Gaynor
*Connor, Suzanne
*Dezhooei, Mohammed
*Fathi, M. Michael
*Grimes, Mark
 Hammond, Joni

Department of Computer Science
 Cook, Karen S.
 Hobbs, Jonathan
*Mukkavilli, Sai
*Nan, Satyuki
*Yemelyanov, Alexander M.

Hart, Dawn
Jones, Becca
Mallett, Brian
Park, Yangil
Perry, Shannon A. **Chair of Computer Science**
Smith, Sondra
Stovall, Amber
Stovall, John S.
Taylor, Danielle
Theriault, Darrin
*Wang, Qian

COLLEGE OF EDUCATION

Abbott, Rachel, **Dean**
Pritchett, Christopher, **Assistant Dean**
McKie, Michelle, **Assessment Director**

*Abbott, Rachel L.	Miller, Rebecca
Bidwell, Rebecca	Pritchett, Christopher
Cribbs, Jason	*Sexton, Thelma
*Crosby, Michael	*Short, Rebecca G.
Early, Kathryn	Stephens, Susan
Dickens, Jennifer	Tarrer, Allison
McDonald, Josh	Whaley, Morgan
*McKie, Michele	*Wu, Chu Chu
McLemore, Nicole	

College of Nursing and Health Sciences

*Teasley, Teresa, **Interim Dean**
Bryant, Paula, **Associate Dean, Graduate Programs**
Easom, Leisa, **Associate Dean, Long Term Care Management Program**
Ragsdale, Michele, **Interim Associate Dean, Undergraduate Program**
Ouzts, Jessica, **Interim ASN Coordinator and Simulation Education Coordinator**

Nursing

Bachhofer, Carrie
*Bryant, Paula
**Dodd, Martha
*Dykes, Michelle
Gary, Bonnie
Gosa, Laura
*Hasbach, Kim
Mellinger, Brittany
*Mulleins-Foreman, Ramona
Ouzts, Jessica
Pfeiffer, Brandy
Ragsdale, Michele
Slocumb, Rhonda
Snider, Natasha
Stanley, Laura
Swords, Leigh
*Teasley, Teresa P.

Health Sciences
Easom, Leisa
Meador, Benjamin
Sha, Zhanxin

Graduate Faculty

171

2024-2025 Faculty Committees
(updated after Southwestern Week)

Academic Affairs

Faculty	School
Jill Drake (Provost & VPAA)	*Ex-Officio*
Bryan P. Davis (Asso. VPAA)	*Ex-Officio*
Krista Smith (Registrar)	*Ex-Officio*
Signe Coombs (Athletics)	*Ex-Officio*
	SGA Representative
	SGA Representative

Business and Finance

Faculty	School
Jeff Hall (VP Bus & Finance)	*Ex-Officio*
	SGA Representative
	SGA Representative

*yellow highlight denotes Faculty Senate member

Faculty Affairs

Faculty	School
Jill Drake (Provost & VPAA)	*Ex-Officio*
	SGA Representative
	SGA Representative

Faculty Development

Faculty	School
Jill Drake (Provost & VPAA)	*Ex-Officio*
	SGA Representative
	SGA Representative

*yellow highlight denotes Faculty Senate member

Graduate Affairs

Jill Drake (Provost & VPAA)	*Ex-Officio*
Rachel Abbott (Dean-COE)	*Ex-Officio*
Mark Laughlin (Dean-A&S)	*Ex-Officio*
Gaynor Cheokas (Dean-COBAC)	*Ex-Officio*
Teresa Teasley (Interim Dean-CNHS)	*Ex-Officio*
	SGA Representative
	SGA Representative

Institutional Review Board

Faculty	School
	SGA Representative
	SGA Representative

*yellow highlight denotes Faculty Senate member

Instructional Technology

Faculty	School
Royce Hackett (Dir., IT)	*Ex-Officio*
	SGA Representative
	SGA Representative

Institutional Effectiveness Committee 2024-2025

Karlie Levering	Athletics	2023-2026
Shawn McGee	Business and Finance	2022-2025
Gaye Hayes	Enrollment Management	2022-2025
Christa Faison	Residential and Campus Life	2022-2025
David Jenkins	Student Engagement & Success	2021-2024
	SGA Representative	2022-2023
	SGA Representative	2022-2023
Angie Christmas	Staff Senate	2022-2023
Alania Kaus	Arts & Sciences	2021-2024
Charles Huffman	Arts & Sciences	2023-2026
Michele McKie	Education	2020-2023
Rhonda Slocumb	Nursing & Health Sciences	2022-2024
Bokshim Fox	Library	2021-2024
Michael Fathi	Business & Computing	2023-2026
Allen Brown	Graduate Programs	2023-2026
Jill Drake	**Academic Affairs**	**Ex officio**
Bryan Davis	**Academic Affairs**	**Ex-officio**
Brian Mallett	**Director of IR**	**Ex-officio**

*yellow highlight denotes Faculty Senate member

Global Engagement and High Impact Practices Committee

Faculty	School
Jill Drake, Provost & VPAA	*Ex-Officio*
Courtney Harmon, Student Engagement and Success/Enrolment/SEVIS	*Ex-Officio*
	SGA Representative
	SGA Representative

Student Affairs

Faculty	School
Gaye Hayes, Interim VP for Student Engagement & Success	*Ex-Officio, Student Affairs*
Christa Faison, Director for Residential and Campus Life	*Ex-Officio, Student Affairs*
	SGA Representative
	SGA Representative

*yellow highlight denotes Faculty Senate member

QEP Implementation Team <mark>Ad Hoc Committee</mark>

Mark Grimes	Business & Computing
Bonnie Gary	Nursing & Health Sciences
Yemisi Milledge	Experiential Learning
Paul Dahlgren	Arts & Sciences
Jamie MacLennan	Arts & Sciences
Courtney Harmon	FYE
Christa Faison	SES
Signe Combs	Athletics
Jill Drake	Interim Provost/VPAA
Alejandro Espitia	SGA President
QEP Writing Team	
Paul Dahlgren	Arts & Sciences
Jennifer Ryer	Arts & Sciences

Faculty Senate

Jill Drake (Provost & VPAA)	*Ex-Officio*
Michelle R. Johnston (President)	*Ex-Officio*

A

APPENDIX (At the time this PDF was created, many parts of the appendix were being updated, such as the faculty committee rosters, therefore only the sections of the appendix cited in the SACSCOC Compliance Certification document have been included.)

Student Complaint Procedures for Academic Issues

An academic complaint is defined as a problem with a course that is related to a student's program of study. Grounds for Academic Complaints include:
1.   The grade for an assignment or for a course was recorded incorrectly.
2.   The faculty member did not provide clear criteria upon which a grade would be evaluated.
3.   The assignment of a final grade lower than that earned by another student enrolled in the same class whose recorded academic performance (all grades for course requirements and assignments) was the exactly the same as the student receiving the lower grade.
4.   The assignment of a final grade in a course by a faculty member based upon performance measure(s) other than the criteria provided by the faculty member on the course syllabus for calculating the final grade in that course.
5.   The number of absences recorded by the faculty member was incorrect, and based upon the number of recorded absences the student received a failing grade as stipulated in the course syllabus.
6.   A student believes that he or she received a prejudiced academic evaluation for expressing a reasoned opinion or idea different from that of the instructor.

   A.   INFORMAL PROCEDURE

A student who has a complaint is first expected to try resolving the complaint informally. The student should discuss his or her problem with the faculty member involved and try to reach a mutually agreeable solution within the first thirty (30) days, excluding weekends, university holidays, and break periods after the problem occurred. If the student is not comfortable talking with the faculty member involved, the student may skip to the Mediation Process or the Formal Procedure as described below. Complaints submitted more than forty (40) days, excluding weekends, university holidays, and break periods after the problem occurred will not be considered. Upon notification of a complaint by the student, the faculty member must meet with the student to discuss the complaint within ten (10) days, excluding weekends, university holidays, and break periods. Should the grievance not be mutually resolved, the student will have the option to seek mediation (Step 2 below) or advance to the formal procedure (Step 3 below) within ten (10) days, excluding weekends, university holidays, and break periods. A complaint resolved through the Informal Procedure is not considered an official written complaint for the purpose of federal complaint tracking requirements.
Should the student elect to advance to the Formal Procedure, she or he will waive the option to seek Mediation at a later date.
B. MEDIATION (OPTIONAL)
1. If all reasonable informal efforts to resolve the complaint fail, the student is encouraged, but not required to choose the mediation process. Mediation is an informal process that involves a neutral third party who will assist in resolving the problem. The objective of this process is to come to an agreement that is fair and meets the needs of the parties involved. This process is confidential and private. Mediation does not waive the rights of any aggrieved party to seek resolution of his or her grievance through GSW complaint procedure.
2. Steps for Mediation:
a. The student chooses one mediator from a list of certified mediators available from Director of Human Resources. Both parties must be agreeable to mediating the complaint.
b. The mediator will set up a time for the student and faculty member to meet. This meeting will take place within ten (10) days after the mediator is chosen, excluding weekends, university holidays, and break periods.
c. At the time of the meeting, the mediator will assist the two parties in finding a mutually agreeable and fair solution to the conflict. The mediator may offer suggestions, but cannot impose a solution.
d. If the student is not satisfied with the outcome of mediation, he or she can file a complaint through the

Formal Procedure.

e. Both parties involved in the complaint would sign the statement acknowledging their understanding of what processes occurred during Step 2.

f. The mediator has the option to request written materials from all parties involved in the grievance for the purpose of clarifying the issue(s).

A complaint resolved through Mediation is not considered an official written complaint for the purpose of federal complaint tracking requirements.

C. FORMAL PROCEDURE

1. A formal grievance must be filed within ten (10) days from the time of the conclusion of the Informal Procedure, if Mediation is not pursued, or the conclusion of Mediation, excluding weekends, university holidays, and break periods. Waiver of time limits (or extension) may be approved by mutual consent of the student and faculty member involved.

2. The student must submit a formal letter of complaint in hard copy to the appropriate Department Chair. Formal written complaints must be submitted in hard copy, and delivered by hand, by campus mail, or by US Mail. Students in online programs may submit formal written complaints in hard copy by US Mail or by fax. A waiver of time limits may be approved by mutual consent of the student and the faculty or staff member involved. For the purposes of this procedure, an e-mail message is not considered a formal letter of complaint. The formal letter of complaint should include a return address to which the chair will direct her of his written decision. In academic units that do not have department chairs, a student begins the formal process by submitting a formal letter of complaint in hard copy to the dean of the appropriate school.

3. The Department Chair will investigate the complaint and may interview the student for clarification. After the investigation, he or she may either grant or deny the redress sought, or provide alternate remedies. The written decision of the Department Chair will be issued no later than ten (10) days following receipt of the formal letter of complaint, excluding weekends, university holidays, and break periods.

4. If the Department Chair's decision is not satisfactory to the student, the student has ten (10) days, excluding weekends, university holidays, and break periods to appeal the decision by submitting a formal letter of complaint in hardcopy to the dean of the appropriate school. The formal letter of complaint should include a return address to which the dean will direct her of his written decision. Upon receipt of the formal letter of complaint, the Dean will review the facts of the complaint and may conduct further inquiry. The Dean has ten (10) days, excluding weekends, university holidays, and break periods after receipt of the formal letter of complaint to notify the student of his or her decision in writing.

5. If the Dean does not render a decision satisfactory to the student, the student may file a formal letter of complaint to the Provost and Vice President for Academic Affairs within ten (10) days of the Dean's decision, excluding weekends, university holidays, and break periods. The formal letter of complaint should include a return address to which the Provost will direct them of their written decision. The Provost will review the facts of the complaint and may conduct a further inquiry. The Provost has ten (10) days, excluding weekends, university holidays, and break periods after receipt of the formal letter of complaint to notify the student in writing of his or her decision.

6. If the Provost does not render a decision satisfactory to the student, the student may submit a formal letter of complaint in hard copy to the President of the University within ten (10) days of the Provost's decision, excluding weekends, university holidays, and break periods. The formal letter of complaint should include a return address to which the President will direct her of his written decision.

7. The President, upon receipt of the formal appeal, will submit the complaint to the Committee on Academic Grievance within ten (10) days, excluding weekends, university holidays, and break periods for consideration.

8. The following rules will apply:

a. The committee shall hear the case and forward its recommendations to the President.

b. The hearing will be conducted by the Committee on Academic Grievance in an informal and expeditious manner.

c. The Committee will be provided with all prior relevant documents from both sides and may request additional information or seek further witnesses.

d. Only committee members, parties to the action and their advisors (drawn from among the student, faculty, and staff of the University) and witnesses testifying before the Committee shall be permitted in the hearing.

e. At the hearing, the complainant, the faculty member, and witnesses for each party may testify, and may be questioned by committee members and the student's advisor.

f. The Committee is empowered to rule on procedural matters and relevance of witnesses or evidence.

g. All hearings will begin within ten (10) days from the time the Committee receives the complaint from the President, excluding weekends, university holidays, and break periods.

h. A tape recording or other record of the hearing shall be preserved for reference and review until the case has been finally resolved.

9. The Committee shall arrive at a decision after all evidence has been heard and the parties have been dismissed. Only committee members who have been present for the entire hearing may vote on the case.

10. A majority vote of qualified members shall constitute a judgment.

11. Upon receipt of the Committee's recommendations, the President of the University shall render a final decision within ten (10) class days, excluding weekends, university holidays, and break periods, and may amend a recommendation according to his or her best judgment.

12. If the student receives an unfavorable decision from the President of the university, she or he may submit an appeal to the Board of Regents. See Board of Regents Policy 4.7: http://www.usg.edu/policymanual/section4/policy/C333.

UNIVERSITY STATUTE

ARTICLE I

The University

Section 1.   **Board of Regents of the University System of Georgia**

The governing body of the University is the Board of Regents of the University System, a constitutional state board. The Board governs, controls, and manages all of the State's institutions of higher education. The Chancellor is the chief administrative officer of the Board. Policies of the Board are assembled from the laws of the State of Georgia, By-Laws of the Board, and actions of the Board in official meetings.

The University Statutes of the University are set forth within the framework of the official policies of the Board of Regents.   In the event of conflict between the University Statutes and the Policies of the Board, the latter have precedence.

Section 2.   **Purpose**

Georgia Southwestern State University provides a broad range of educational opportunities for students of diverse educational, economic, and cultural backgrounds. The University provides leadership in Southwestern Georgia through programs which address educational, cultural, economic and human development needs.

Georgia Southwestern State University has a distinctive role for the provision of quality education in a traditional college environment. The curricula of Georgia Southwestern State University are characterized by comprehensive offerings at the baccalaureate level, and graduate programs in areas where the University has demonstrated competence and for which the demand is high. The University has a discipline-oriented research mission, primarily for the enhancement of instructional effectiveness. The University also assumes roles in providing public services, developing continuing education, and promoting international relations to meet the needs of its public.

Georgia Southwestern State University encourages life-long learning and an examination of societal needs which may be addressed in an academic setting and which will lead to effective citizenship. The University promotes the development of character through intellectual inquiry and examination of personal and professional values.

ARTICLE II

Administrative Organization

Section 1.   Introductory Statement

The organization of the University contributes to the attainment of its purposes. The administrative organization is described below.

Section 2.   The President

Appointment.   The President shall be elected to a one year term of office by the Board of Regents upon the recommendation of the Chancellor. The President shall hold office at the pleasure of the Board.

Powers and Duties.   The President is the executive head of the University and of all its divisions and departments, exercises such supervision and direction as will promote the efficient operation of the University, and is responsible to the Chancellor of the University System for the operation and management of the University and for the execution of all directives of the Board of Regents and the Chancellor. The President shall:

Serve as an ex-officio member of the Faculty Senate,

Be the official medium of communication between the faculty and the Chancellor, and between the Faculty Senate and the Chancellor,

Recommend annually to the Board of Regents, through the Chancellor, the appointment of academic deans and department chairs, members of the faculty, and other employees, the salary of each, and all promotions and removals,

Have the right to veto all actions of the faculty, the Faculty Senate, and any committees dealing with the faculty or students, and when the President exercises the veto power, shall give to the group concerned a written statement of the reasons for the veto.

The President shall have such other and further powers, duties, and responsibilities as set forth in the Policies of the Board of Regents.

Section 3.   Administrative Officers

Appointment.   Administrative officers are appointed by the President with the approval of the Chancellor and the Board of Regents and shall hold office at the pleasure of the President. An administrative officer has no right to tenure in the administrative office held. If he or she holds academic rank and rights of tenure in the corps of instruction, he or she shall retain academic rank and rights of tenure as an ex-offico member of the corps of instruction. In addition to the duties set forth below, each of these administrative officers shall perform such other duties as the President may assign.

1.   Provost, Vice President for Academic Affairs and Dean of the Faculty. The Provost and Chair of the Faculty shall be an ex-officio member of the University Faculty and is responsible for the instructional program of the University and certain support services such as the library and records, and shall:

Supervise the recruitment and assignment of faculty personnel,

Recommend leadership personnel in the academic areas to the President,

Be responsible for the daily administration of academic affairs, both for faculty and for students, and

Serve as the chief administrative officer in the absence of the President.

2. **Vice President for Business and Finance.** The Vice President for Business and Finance shall be an ex-officio member of the faculty and shall be charged with the business administration of the University, have custody and control of all funds and securities, establish and maintain uniform and effective procedures of accounting, budgetary control, internal checks and audits, inventory control and business practices; assist the President in the preparation of the budget, and control the budget operation, and shall:
Keep proper books of accounts, fully setting forth the financial condition and transactions of the University and shall exercise general supervision over all accounts of officers which have to do with the receipt and disbursements of funds and while holding them accountable shall see that no money shall be drawn from its treasury to pay such accounts, claims, or demands, unless they are found to be correct and unless there shall be money in the treasury legally available for the payment thereof,

Serve as financial and administrative advisor to the President and other administrators and prepare and publish annual reports on the financial operations of the University.

Give Bond satisfactory to the Board of Regents, at the expense of the University, to assure the faithful performance of duties.

3. **Vice President for Student Engagement and Success.** The Vice President for Student Engagement and Success is responsible for programs related to Student Counseling and Judiciaries, Student Activities, Residence Hall and Greek Life, Student Center Programs, Financial Aid, and Student Health Services, and is responsible for the daily administration of these programs and the general welfare of the students.

4. **Assistant Vice President for Enrollment Management.** The Assistant Vice President for Enrollment Management is responsible for all areas involving Admissions Policies, Procedures, and Practices for the university, Scholarships, and the Office of the Registrar.

5. **Director of Information and Instructional Technology.** The Director of Information and Instructional Technology is the chief Information Officer of the university, and is responsible for all aspects of information technology and security.

6. **Director of Athletics.** The Director of Athletics is responsible for the organization and administration of the intercollegiate athletic programs, including personnel assignment, budgeting, scheduling athletic contests and facilities, recruitment of athletics, and maintenance of the overall quality of athletic programs.

7. **Director of University Relations.** The Director of University Relations is responsible for the Office of Public Relations, general public relations functions, and the university website.

ARTICLE III

The Faculty

Section 1. Faculty Membership

The faculty will consist of the corps of instruction and the administrative officers.

Corps of Instruction. Full-time professors, associate professors, assistant professors, lecturers, and senior lecturers, and teaching personnel with such other titles as may be approved by the Board of Regents, shall comprise the corps of instruction. Full-time researchers, extension personnel, and duly certified librarians are included in the corps of instruction on the basis of comparable training.

Administrative Officers. In addition to the corps of instruction, the Faculty consists of the President, the Vice Presidents, Deans, Associate Deans, and the Registrar. A faculty member who has academic rank and rights of tenure in the corps of instruction and who accepts appointment to an administrative office shall retain his or her academic rank and rights of tenure as an ex-officio member of the corps of instruction but shall have no rights of tenure in the administrative office to which he or she has been appointed. An administrative officer having faculty status shall have all the responsibilities and privileges of faculty membership.

Section 2. Qualification for Faculty Appointment

Minimum

1. Master's degree. Exceptions may be made for:

    a. persons of special learning and ability;

    b. promising individuals who have recently acquired the bachelor's degree and are proceeding with their graduate training;

    c. temporary emergency appointments. However, in keeping with SACS guidelines, all exceptions must possess a minimum of 18 graduate hours in the area in which they are teaching.

2. Evidence of ability as a teacher.

3. Evidence of scholarly competence and activity.

4. Successful experience (This must necessarily be waived in case of beginners otherwise qualified).

5. Desirable personal qualities judged on the basis of personal interview, complete biographical data and recommendations.

In addition to the minimum criteria listed above, initial appointees to associate or full professorships shall have a doctor's degree or its equivalent in training, ability, or experience as determined by the President.

Section 3. Faculty Evaluation

The University maintains a continuing evaluation of its faculty. The evaluation criteria and procedure are stated in the Faculty Handbook and are in compliance with Regent's Policies. Performance of each faculty member is evaluated according to Policies, and evaluation occurs at least

once annually. The evaluation program is the foundation upon which recommendations for promotions, recommendations for dismissals, tenure, salary increases, and other tangible or intangible rewards are based.

Section 4. Criteria for Promotion

Minimum criteria in all professional ranks are:

1.   Teaching

2.   Service to the institution

3.   Scholarship

4.   Student Success Activities

5.   Faculty Development Activities

Noteworthy achievement in all of the above need not be demanded, but is expected in the teaching area and at least two other areas. A written recommendation should be submitted by the dean of the college and, where appropriate, the chair of the department setting forth the reasons for promotion.

4.   Length of service in the University shall also be a consideration in promotions.

In addition to the minimum criteria listed above, promotion to associate for full professor requires the doctorate or its equivalent in training, ability, or experience. Neither possession of the doctorate nor longevity of service is a guarantee per se of promotion.

Institutional procedures and specific criteria for promotion, compatible with Board of Regents' Policy, are described in the Faculty Handbook.

Section 5. Tenure

The current policies related to faculty tenure as adopted by the Board of Regents are incorporated into these Statutes by this reference and are described in the *Faculty Handbook*.

Section 6. Employment, Resignation, or Removal of Faculty Members

1.   **Employment.** The current policies related to faculty employment and resignation as adopted by the Board of Regents are incorporated into these Statutes by this reference.

2.   **Removal of Faculty Member.** The President of the University may at any time remove any faculty member or other employee of the institution for cause. The cause or grounds for dismissal adopted by the Board of Regents are incorporated into these Statutes by this reference.

3.   **Procedures for the Removal of Faculty Members.** The current policies stating the procedures for the removal of faculty members adopted by the Board of Regents are incorporated into these Statutes by this reference.

Section 7. Disruptive Behavior

Policy of the Board of Regents prohibits disruptive behavior in any institution in the University System and is hereby incorporated into these Statutes by this reference.

Any student, faculty member, administrator, or employee acting individually or in concert with

others, who clearly obstructs or disrupts any teaching, research, administrative, disciplinary or public service activity, or any other activity authorized to be discharged or held on any campus of the University System is considered by the Board to have committed an act of gross irresponsibility and shall be subject to disciplinary procedures, possibly resulting in dismissal or termination of employment.

Section 8. Academic Freedom

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

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

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

A faculty member who believes he or she has been deprived of academic freedom by any member of the faculty or administration and has exhausted all informal means of resolving the difficulty may, in writing, file a grievance as provided in Article III, Section 9.

Section 9. Grievance Committee and Procedures

There shall be a Grievance Committee to which all members of the faculty shall have access. The Grievance Committee shall have the authority to conduct inquiries into faculty grievances, to attempt the resolution of those grievances by mediation, and to present to the President its recommendations for appropriate responses to the grievances it has considered.

Grievances involving promotion, salary, nonrenewal of contracts, or denial of tenure shall be appropriate for the consideration of the Grievance Committee only if the alleged discrimination is on the basis of sex, race, color, creed, religion, national origin, disability or age.

The composition of the Grievance Committee and its operating procedures shall be developed by the Faculty Senate and approved by the Faculty of the University and the President.

Section 10. Appeals

A faculty member who is aggrieved by a final decision of the President on a faculty grievance or a decision on promotion, salary, nonrenewal of contracts, or denial of tenure may apply to the Board of Regents, without prejudice to his or her position, for a review of the decision in accordance with Article IX of the By-Laws of the Board of Regents.

Section 11. Faculty Meetings

The faculty shall meet at least once each semester and at such other times as may be necessary or desirable as determined by the President. The faculty shall appoint a secretary who shall record the minutes of the meeting. A copy of the minutes of each faculty meetings shall be sent within three days after the meeting to the President who shall keep the minutes on file at this office. A copy of the minutes shall also be sent to the University Library for archival purposes.

A majority of the members of the faculty shall constitute a quorum of the University faculty.

ARTICLE IV

Faculty Organization

Section 1. Introductory Statement

To serve its recognized purposes, the University faculty elects the Faculty Senate and uses a committee system as follows: Committee on Academic Affairs, Committee on Business and Finance, Committee on Faculty Affairs, Committee on Graduate Affairs, Institutional Effectiveness Committee, Institutional Review Board, Instructional Technology Advisory Committee, Committee on Student Affairs, Faculty Development Committee, University Promotion and Tenure Committee, and Global Engagement and High Impact Practices Committee.

Section 2. The Faculty Senate

Purpose. [1]The purpose of the Faculty Senate shall be to constitute a body representative of the faculty, to advise the University on matters relative to the life of the University, and to facilitate the work of the faculty. It shall be representative of the faculty and may act on behalf of the faculty in specific areas when so authorized by the faculty. The Senate will serve as the Standing Faculty Committee on Committees and make recommendations on committee appointments to the President.

Officers. [2]A member of the Faculty Senate shall preside as the President of the Senate. The President and the Recording Secretary of the Senate will be elected annually by a quorum of members of the Faculty Senate by the end of the Spring Semester to serve for the following academic year. The President of the University and the Provost and Vice President of Academic Affairs will serve as ex-officio members of the Faculty Senate.

Senate Membership. Any full-time member of the corps of instruction holding academic rank shall be eligible for election to the Faculty Senate. The President and the Provost and Vice President for Academic Affairs shall be full voting members of the Faculty Senate. There will be fourteen members elected by the faculty of each academic unit and the Faculty of the Library. The number to be elected by each unit is as follows: Arts and Sciences, seven senators; Business Administration, two senators; Computer and Information Sciences, one senator; Education, two senators; Library, one senator; and Nursing, one senator.

Term of Office. The term of office of an elected member will be two years. An elected member may succeed himself or herself for one term. Upon completion of the second term, he/she must wait two years to be eligible for reelection. The terms of senators shall be ordered so that no more than one half of the terms shall expire on any one year.

[1] Approved by GSW Faculty 11/30/07 and BOR 6/11/08
[2] Approved by GSW Faculty 11/30/07 and BOR 6/11/08

Section 3. The Committees

The President shall appoint the members of the Standing Committees after considering the recommendations of the Faculty Senate, and committee members shall elect a chair. A committee shall normally have no more than fourteen faculty members in addition to students and ex-officio members. The membership of committees shall reflect the senate representative groups as closely as possible. The Standing Committees shall report to the faculty in an advisory capacity.

To ensure continuity and stability of committees, members will be appointed for at least a two-year term. Chairs should be chosen from faculty members who have previously served on the committee.

Section 4. Function and Composition of the Standing Committees

Committee on Academic Affairs. Committee on Academic Affairs. The committee approves substantive change to curriculum, reviews and advises on academic policies, reviews general education assessment reports, and oversees academic advising. The Provost and Vice President for Academic Affairs, the Associate Vice President for Academic Affairs, the University Registrar, and the Assistant Athletic Director for Compliance are ex-officio members of this committee. The Assistant Athletic Director for Compliance is a non-voting member of the committee.

The committee shall:
- Approve all substantive changes to the curriculum, including addition, revision and deletion of courses, and addition, revision, and deletion of academic programs.
- Periodically review the institution's academic policies, and make recommendations for changes to the administration, as well as making recommendations to the faculty on the addition, revision, and deletion of academic policies.
- Review General Education Assessment Reports annually, and make recommendations for improvement, when appropriate.
- Assess and make recommendations for improving the institution's academic advisement.

This committee has two standing subcommittees: academic policies and academic advisement. The Assistant Athletic Director for Compliance is a standing member of the academic advisement subcommittee.

[1]Institutional Effectiveness Committee. The Institutional Effectiveness Committee (IEC) coordinates with the Faculty Senate to establish and assess institutional priorities for strategic planning and budgeting. The IEC is organized into two standing subcommittees on Strategic Planning and Assessment, and Academic and Support Unit Assessment. The subcommittees review data and make recommendations on these issues to the entire IEC. In addition, the IEC may form Task Forces designed to complete specific tasks within a limited time frame. The IEC is made up of 19 members representing all areas of the university as follows:

- Representative appointed by Director of Athletics
- Representative appointed by the Vice President for Business and Finance
- Representative appointed by the Vice President for Enrollment Management
- Representative appointed by the Vice President for Student Affairs
- Student Representative appointed by the Office of Student Affairs
- Student Representative appointed by the Student Government Association
- Representative appointed by the Staff Senate
- Two Representatives from the College of Arts and Sciences appointed by Faculty Senate
- Representative from the School of Computing and Mathematics appointed by Faculty Senate
- Representative from the School of Business appointed by Faculty Senate
- Representative from the School of Education appointed by Faculty Senate
- Representative from the School of Nursing appointed by Faculty Senate
- Representative from the Library appointed by Faculty Senate
- Representative from Graduate Programs appointed by Faculty Senate
- Representative appointed by Director of the Rosalynn Carter Institute
- Provost and Vice President for Academic Affairs, ex officio

- Director of Institutional Research, ex officio
- Director of Institutional Effectiveness and Planning, ex officio

Representatives serve for a term of three years, with the exception of student appointments which last one year. One third of the representatives, again excepting students, rotate off every year, although serving multiple consecutive terms is not prohibited. The entire IEC must meet at least three times annually, but may meet more often when conditions warrant. The meeting schedules of the IEC's subcommittees and task forces are determined by the subcommittees and task forces.

[1]Approved by GSW Faculty 12/5/2008 and BOR 3/17/2009

Institutional Review Board. This standing committee shall review all research at Georgia Southwestern State University that involves human subjects. Faculty and community members shall constitute the committee. Federal guidelines must be followed by the IRB (45 CFR 46). The committee shall ensure the following:

That research is conducted in an ethical manner.

That risks to subjects are minimized.

That selection of subjects is equitable.

That subjects are fully informed about their involvement in research projects.

The Provost and Vice President for Academic Affairs shall be an ex-officio member of the committee.

[2]**Instructional Technology Advisory Committee.** The committee shall provide a functional link and liaison between the faculty, administration, and Information and Instructional Technology department (ITT). The committee shall annually review the current status of campus-wide instructional technology and advise IIT on efficient methods of implementing and maintaining current instructional technologies. The committee will consist of a [3]minimum of two (2) full-time faculty members from the College of Arts and Sciences, and a [3]minimum of one (1) from each of the other schools. The Chief Information Officer, the Instructional Technology-Coordinator, and the Computer Lab Support Manager (or designee) shall serve as ex-officio members.

In its specific task, the committee shall be responsible for the following:

Review the expenditure of funds from the Student Technology Fee. Make recommendations to the CIO and the Provost and Vice President for Academic Affairs for the disbursement of Student Technology Fee funds.
Review and recommend technology used to support distance learning and web-based instruction.

Conduct campus-wide instructional technology assessments and update the Instructional Technology Plan.

Review and prioritize Faculty Instructional Technology grant requests.

Review faculty technology training.

[2]Approved by GSW Faculty 05/01/2015
[3]Approved by GSW Faculty 04/28/2017

[2]Committee on Student Affairs.   This committee shall cooperate with and advise the Vice President of Student Affairs regarding policies related to the general welfare of the student body. The Vice President of Student Affairs and the Director of Student Life shall serve as ex-officio members of this committee. Two student representatives from the Student Government Association shall also be members. The Chair of the committee on Student Affairs, with the advice and consent of the committee, may invite or appoint others to become standing or select ex-officio members, and may request the attendance of a student organization faculty advisor and/or a student organization representative to attend committee hearings and meetings where the business of their respective organizations are being reviewed and/or discussed. In specific tasks, the committee shall:

Consider and review all student organization petitions for recognition, all new and revised student organization constitutions, and communicate committee recommendations to the Director of Student Life.

Be concerned with and review policies and programs designed to promote and improve the quality of student publications and, consistent with the authority and duties set forth in "Section IV: University Policies" of the Faculty Handbook, including evaluation and oversight of the following student media organizations: Sou'Wester, Hurricane Watch, and Sirocco. The committee can call for changes of editors if a publication is in violation of university policy.

Be concerned with and review the enforcement of rules and regulations related to student conduct, recommend appropriate action to the President in all judicial/disciplinary cases referred to it by the University President.

Be receptive to hearing the concerns of student groups or individuals who have not other apparent venue to present their concerns, and to communicate those concerns through appropriate channels.

Collect and/or assess data on the campus climate for students on a yearly basis. This can be original data or that collected by other units on campus. The results will be presented to the faculty senate.

Be concerned with and review policies and programs designed to promote and improve all aspects of student academic performance; career and personal development; campus living; student mentorship; diversity; equity; and inclusion on campus; and the physical, mental, and emotional well-being of each student.

[2]Approved by Student Affairs Committee 11/01/10 and GSW Faculty on 12/03/10

Committee on Faculty Affairs. The committee shall be concerned with the general welfare and development of the faculty. It shall cooperate with the Grants officer, the Provost and Vice president for Academic Affairs, and the Faculty Senate in determining policies and procedures related to the general welfare of the faculty. The Vice president for Academic Affairs shall be an ex-officio member of this committee. In its specific tasks, the committee shall:

Be concerned with the improvement of faculty welfare, be responsible for recommendations regarding the maintenance and improvement of faculty fringe benefit programs, and shall make recommendations on general faculty welfare matters to the Faculty Senate and faculty.

Assist in the establishment of guidelines for the recruitment, selection, retention, and professional development of faculty members.

In cooperation with the Grants Officer, assist in making available to the faculty information regarding grants for professional and personal development.

Assist in the establishment of guidelines for the evaluation of faculty members.

Committee on Business and Finance. The committee shall cooperate with the Vice President for Business and Finance in determining policies related to the business and general relations of the University constituencies. The Vice President for Business and Finance shall be an ex-officio member of this committee. In its specific tasks, the committee shall:

Encourage proper utilization of the University's financial resources and provide faculty perspective on this matter.

Be concerned with operations of the auxiliary enterprises such as the bookstore, student center, dining facilities, and postal services.

Assist in the planning, development, and expansion of the physical facilities, and be concerned with the aesthetic appearance of the campus as well as the development of the instructional facilities.

Assist in the development and implementation of policies and procedures relating to maintaining the security of the campus, and the enforcement of the safety and traffic regulations.

Committee on Graduate Affairs. The committee shall be generally concerned with the quality of instruction and the development of curriculum and instructional facilities of the University in relation to graduate programs. The Director of Graduate Studies, the Director of Library Services and the Deans of the Schools, which offer graduate degree programs, shall be ex-officio members of the committee. All members of Graduate Affairs must have graduate faculty status.

The committee shall:

Establish and monitor policy for graduate programs.

Review and forward to the faculty governance system all changes in policy for graduate programs and all proposals for modification, addition or deletion of graduate degree programs and concentrations.

Serve graduate students in the same role as the Academic Affairs Committee serves undergraduate students.
Insure that proposals relating to graduate teacher education are reviewed by the Teacher Education Committee before taking action.
Establish policies and monitor administration of programs for the funding, recruitment, selection, assignment, employment and evaluation of graduate assistantships.

[3] **Faculty Development Committee.** The Faculty Development Committee will oversee University efforts on Faculty Development. The committee will advise the administration of grants related to Faculty Development and review the various faculty development grant proposals. It will also advise on programs for Faculty Development. The committee will confer with the faculty and the administration to effectively advise on how to better support faculty development and suggest ways in which the faculty development program may be improved. At least once each fiscal year, preferably at the end of the spring semester, the Faculty Development Committee will request a summary from the GSW Provost on all funding and appropriations related to the Faculty Development Account, and will provide written feedback to the Provost where appropriate.

[3] **University Promotion and Tenure Committee**. The University Promotion and Tenure committee will review portfolios for promotion and tenure at the University level. It will also set standards for the organization of promotion and tenure portfolios. The institution-wide Committee will be composed of tenured faculty preferably of professor rank, elected to two-year terms by the faculty of each school. There will be two members from the School of Arts and Sciences and one from each of the other schools. The Institution-wide committee will make a written recommendation to the Vice President for Academic Affairs for approval or disapproval of each case under consideration.

[3] **Global Engagement and High Impact Practices Committee.**   The Global Engagement and High Impact Practices Committee will oversee University efforts on high impact practices, global engagement, and cultural diversity and inclusion. The committee will cooperate with faculty and administrators to ensure that students receive equitable access to high impact learning practices and have opportunities to engage with a diversity of experiences, beliefs, and views.

The committee will:
- Advise the administration of grants related to high impact practices (HIPS) and review the various high impact practice grant proposals.
- Serve as HIPS liaisons from across campus-help identify courses that should have a HIP status and promote participation in this process.
- Review W2W proposals and make recommendations regarding W2W offerings to ensure that programs align with the principles of the University's diversity statement.
- Make recommendations for W2W credit amounts based on event type and length (e.g., 2-week long study abroad trip vs. 1-hour presentation).
- Work with Director of Experiential Learning and International Students Coordinator to help plan and coordinate international-themed events (e.g., international guest speakers, International Education Week events, Taste of the World).
- Make recommendations for course load and faculty compensation for internships, study abroad, domestic study away, service-learning projects, first-year seminars, and supervised undergraduate student research.

[3] Approved by the GSW Faculty on May 11, 2022

Section 5.   Academic Schools and College

The academic schools and college are administrative subdivisions of the University established for the purpose of giving instructions in one or more of the well-organized fields of study. A school or college may be further subdivided into departments. The faculty or corps of instruction of a school or college shall consist of all full-time professors, associate professors, assistant professors, lecturers and senior lecturers, and any teachers or personnel with such other titles as may be approved by the Board of Regents. Full-time research and extension personnel and duly certified librarians will be included in the corps of instruction on the basis of comparable training.

Section 6.   Academic Deans

Appointment.   The Academic Deans shall be appointed by the President with the approval of the Chancellor and the Board of Regents and shall hold office at the pleasure of the President. The dean shall report to the Provost and Vice President for Academic Affairs, and have responsibility for planning, organizing, directing, and supervising the overall operation of the division, and for the quality of faculty performance.

1.   Planning responsibility shall consist of setting feasible operational goals determined by joint efforts of the faculty congruent with university and system policies. Goals shall contain cost effective short-range and long-range objectives set within given human and financial budgetary limitations. Plans shall include meeting all external accreditation criteria required of each degree program.

2.   Organizational responsibility shall consist of orderly development of methods and processes to facilitate program, curricula, and faculty development. The development and growth of these areas shall be congruent with faculty, institutional, student, community, and regional needs. A positive and progressive organizational climate, designed to promote professional growth and development of both students and faculty, shall be a major goal.

3.   Directing responsibilities shall consist of establishing administrative procedures and routines to insure that all division data are promptly and accurately collected and transmitted via written and

verbal reports to both administrators and the faculty. Collected data shall be used as empirical evidence to support effective planning for the future of the division.

4.   Supervising responsibility shall require the establishment and operation of the quality assurance programs in (1) advisement, (2) budgetary controls, (3) course scheduling, (4) curricula development, (5) human resources evaluation, (6) classroom instruction, (7) community service, (8) seminars, and (9) research. Facilities and equipment acquisition shall be congruent with the instructional needs of both faculty and students and shall promote progressive and orderly development of the major objectives outlined in the planning phase. An annual review of results shall be presented to the faculty.

5.   The dean shall receive an annual evaluation by the Provost and Vice President for Academic Affairs and shall be properly apprised as to performance as outlined in this section. The orderly placement of a dean shall be consistent with performance appraisals which fall above or below normative performance of deans in like institutions. Performance appraisals shall be used in apprising the deans of the level of their performance.

Section 7.   Department Chairs

A department is an administrative subdivision of the University established within a school or college and organized for the purpose of giving instruction in one or more of the well-recognized fields of study and investigation.

Each department, so established and designated, is directed by a department chair. The chair is appointed by the President after consultation with the academic dean and the Provost and Vice President for Academic Affairs, and with the approval of the Chancellor and the Board of Regents, and shall hold office at the pleasure of the President. The department chair shall:

Be responsible for the general direction of the work of the department and for the formation, in consultation with the departmental corps of instruction and the division chair, of department plans; for execution of these plans and of the policies of the University insofar as they affect the work of the department.

Be the representative of the department in all official communications with the academic dean, the Provost and Vice President for Academic Affairs, the President, and the University officers and in official departmental communications with students.

Be responsible for the quality of instruction offered in the department; give close supervision to the classroom instruction of departmental corps of instruction; consult from time to time with each member of the department regarding the nature, scope, and quality of the faculty member's teaching; and make recommendations to the academic dean regarding the selection, promotion, retention, nonrenewal, and removal of the faculty members of the department.

Cooperate with the academic dean in the assignment of courses within the department and maintain, insofar as possible, an equitable and mutually agreeable distribution of courses and sections; have general supervision of the work of the students in the department and coordinate the advisement activities of the faculty.

After consultation with the department members, prepare a budget request for the department and submit it to the academic dean.

Prepare an annual report to be incorporated in the academic dean's report to the Provost and Vice President of Academic Affairs.

In the fields of study in which no department has been established or no chair appointed, the academic dean, with the approval of the Provost and Vice President for Academic Affairs and the

President, may assign certain duties to a coordinator. (The responsibility for these duties rests with the academic dean.) The duties of the coordinators shall include:

General direction of the work of the area in consultation with the academic dean; execution of the direction of the academic dean.

Representation of the area in all official communications with the academic dean and, through the academic dean, to the Provost and Vice President for Academic Affairs, the President, and other officers, and in official communications with students.

General direction of instructional services offered in the area, including the course offerings, faculty assignments to courses, development of new courses and programs, all in consultation with the academic dean. In consultation with the [area] faculty, the coordinator shall make recommendations to the academic dean regarding selection, retention, removal, and promotion of faculty members.

General coordination of advisement activities of the area and supervision of students in the area.

Development of budget requests in cooperation with the faculty of the area; and preparation of an annual report to be incorporated within the annual report of the school, in cooperation with the academic dean.

Section 8.   Individual Faculty Members

In a changing educational environment, the role of the individual faculty member will necessarily be in a continuous process of evolution. Therefore, the responsibilities and duties of the faculty are best defined in a regularly revised document, the Faculty Handbook, and in conformity with these Statutes.

The primary responsibility of the corps of instruction faculty is to teach and, in doing this, to assist students in the acquisitions of skills, attitudes, and understanding relevant to course objectives. Each instructor is responsible for the quality and content of instruction in his or her classroom and for the evaluation of student academic performance relative to course objectives.

The faculty member also plays an essential role in university life outside the classroom through academic advisement, service on individual or departmental committees, and supervision of student activities. A faculty member is expected to assume professional responsibilities with the above and additional areas to which he or she might reasonably be assigned by the University, division or departmental administration in accordance with these Statutes and the Policies of the Board of Regents.

The faculty member is also expected to be a professional in his or her own discipline, to stay abreast of current developments, and to be professionally active and productive by whatever means are pertinent to this discipline (i.e., conferences, performances, publications, etc.).

ARTICLE V

Students

Section 1.   Admission of Students

Policies governing the admission of students, whether new, transfer, transient, or auditing, will follow procedures as outlined in the current University Bulletin.

Section 2.   Student Conduct and Academic Performance

Regulations regarding student conduct and academic performance shall follow procedures as prescribed in the current publications approved by the University.

Section 3.   **Student Organizations and Activities**

Provisions and guidelines for organizing student activities shall follow procedures as stated in current publications approved by the University.

ARTICLE VI

Miscellaneous Provisions

All questions of interpretation of these Statutes and questions of the nature and extent of the jurisdiction of the faculty and of the various administrative officers under these Statutes are to be determined by the President.

The President shall settle all questions of conflicts of jurisdiction that may arise between any of the committees, or any committee and the Senate, or between them and the administrative officers of the University.

After the decision of the President on such questions, an appeal may be made to the Board of Regents, as provided in Article IX of the By-Laws of the Board of Regents.

These Statutes shall become effective on their adoption by a two-thirds vote of the faculty at a faculty meeting at which a quorum of the faculty is present, and the approval of the Board of Regents of the University System of Georgia. The adoption of these Statutes shall rescind any and all previous Statutes, rules, and faculty decisions which are contrary to the provisions herein given.

In the event of a conflict between the *Faculty Statutes* and the *Faculty Handbook*, the former takes precedence.

General Faculty meetings shall be conducted in accordance with *Robert's Rules of Order, Revised*.

Faculty must receive agenda and related materials at least three working days before a faculty meeting is held.

ARTICLE VII

Amendments

All proposed amendments to the Statutes of Georgia Southwestern State University shall be made to the Faculty Senate. If the Faculty Senate approves an amendment by a two-thirds vote of its members, it shall be submitted to the Faculty.

When an amendment is approved by a two-thirds vote of the faculty at a faculty meeting at which a quorum is present (See Article III, Section II, provision for quorum), it shall be submitted to the President of the University. If the President approves, he or she will submit it to the Chancellor and the Board of

Regents for formal ratification. The President may veto a proposed amendment by following the procedure set forth in Article II, Section 2.

Amendments approved by the Board of Regents shall be effective on the date of Board Action.

Approved by the Board of Regents

Faculty Development Grant Proposal Form

https://www.gsw.edu/academic-affairs/files/Faculty-Development-Grant.pdf

Faculty Instructional Grant Proposal Form

https://www.gsw.edu/academic-affairs/files/Faculty-Instructional-Grant-Proposal.pdf