



# Employee Handbook

1500-0900

Revised November 2008

## **IMPORTANT NOTICE – PLEASE READ DISCLAIMER**

**NONE OF THE UNIVERSITY'S POLICIES, PROCEDURES OR PRACTICES, INCLUDING THOSE SET FORTH IN THIS HANDBOOK, ARE TO BE VIEWED AS A CONTRACT OR AS MAKING ANY PROMISES OR AS CREATING ANY CONTRACTUAL RIGHTS OF ANY KIND. RATHER, THEY ARE GUIDELINES WHICH ARE SUBJECT TO THE UNIVERSITY'S INTERPRETATION, AND WHICH CAN BE SUSPENDED OR CHANGED BY THE UNIVERSITY AT ITS DISCRETION AT ANY TIME AND WITHOUT PRIOR NOTICE OR AGREEMENT. THIS HANDBOOK SUPERSEDES AND REPLACES ALL PREVIOUS HANDBOOKS AND OTHER STATEMENTS OF UNIVERSITY POLICIES, RULES AND PROCEDURES. ONLY THE PRESIDENT OF THE UNIVERSITY OR HIS/HER DESIGNEE HAS THE AUTHORITY TO ENTER INTO A CONTRACT OF EMPLOYMENT FOR ANY SPECIFIED PERIOD OR TO MAKE ANY PROMISES ABOUT ANY BENEFITS OF EMPLOYMENT. ANY SUCH AGREEMENT OR PROMISE SHALL NOT BE ENFORCEABLE UNLESS SET FORTH IN WRITING AND SIGNED BY THE PRESIDENT OR THE PRESIDENT'S DESIGNEE.**

**NOTHING CONTAINED IN THIS HANDBOOK OR ANY OTHER MANUAL OR POLICY, WORK RULE OR ORAL OR WRITTEN STATEMENT OF THE UNIVERSITY IS TO BE VIEWED AS CREATING A CONTRACT OR AS MAKING ANY PROMISES OR AS CREATING ANY CONTRACTUAL RIGHT OF ANY KIND TO EMPLOYMENT OR THE BENEFITS OF EMPLOYMENT.**

**Note:**  
**Policies and procedures included in this faculty/staff handbook that are not in accord with the policies of the Alabama State Board of Education or the laws of the State of Alabama are void.**

### NON-DISCRIMINATION

It is the official policy of Athens State University not to discriminate on the basis of race, color, sex, religion, national origin, disability, or age in its educational programs, activities, admissions, or employment as required by Title VI and VII of the Civil Rights Act of 1964 (Sexual Discrimination/Sexual Harassment); Title IX of Education Amendments of 1972; Sections 503 and 504 of the Rehabilitation Act of 1973, and the 1990 Americans with Disabilities Act.

Any person, who believes himself or herself or any specific class of individuals, to be subjected to discrimination prohibited by Title VI, Title VII, or Title IX of the Act of Regulations issued thereunder may, himself or herself or a representative, file a written complaint with the United States Commissioner of Education or with the Vice President of Academic Affairs at this institution (or both).

Athens State University does not discriminate on the basis of disability in the admission or access to, or treatment or employment in, its programs or activities. An ADA/504 Coordinator has been designated to insure compliance with the non-discrimination requirements contained in Section 35.107 of the Department of Justice regulations. Information concerning the provisions of the American with Disabilities Act, and the rights provided thereunder, are available from the ADA/504 Coordinator. Athens State University will make every reasonable attempt to provide accommodations needed by persons with disabilities. Accommodations will consist of working with the Division of Rehabilitation Services and the Alabama Department of Education to provide adaptive equipment, facility modification, and any other reasonable measures available to provide a satisfactory learning and working environment.

It is the responsibility of the faculty member to notify the University of disabilities which may require accommodations. If you have a disability that might necessitate adaptive materials, services, or assistance, please make this known to your college dean so that the appropriate arrangements can be made.

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## **PART ONE**

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### **INTRODUCTION**

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- 1.1 HISTORY OF ATHENS STATE UNIVERSITY**
- 1.2 MISSION STATEMENT**
- 1.3 INSTITUTIONAL GOALS**
- 1.4 ACCREDITATIONS AND MEMBERSHIPS**

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## 1.1 HISTORY OF ATHENS STATE UNIVERSITY

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Athens State University is both the oldest and the youngest institution of higher education in Alabama's state educational system. The college was founded in 1822 by local citizens who purchased five acres of land, erected a building, and began Athens Female Academy. Ownership of the school was transferred in 1842 to the Tennessee Conference of the Methodist Church. With the birth of the North Alabama Conference of the Methodist Church in 1870, the University came under the jurisdiction of that body.

On May 10, 1974, the Board of Trustees voted to request permission from the North Alabama Conference of the United Methodist Church for the college to seek affiliation with the State of Alabama. The conference, at its annual meeting in June, 1974, gave the Board of Trustees this permission and authorized the transfer of the college to the State of Alabama.

In June, 1975 the college was accepted by the Alabama State Board of Education subject to the appropriation of operating funds by the Alabama legislature. Later that year, the legislature appropriated funds for the operation of the college to serve the graduates of state junior, community, and technical colleges/institutes.

The institution's name has changed several times in its history, following adjustments in purpose and governance. Athens Female Academy, upon transfer to the Tennessee Conference of the Methodist Church in 1842, became Athens Female Institute. Then, in 1889, after having been transferred to the newly formed North Alabama Conference, the college was known as Athens Female College. In 1931, the college became co-educational and was known as Athens College. In 1975, when the institution became part of the state educational system, it was renamed Athens State College, marking the initiation of an era of increased opportunity for service. In 1998, a bill was passed by the legislature to rename the College to Athens State University. The long history of service by Athens State University is the foundation upon which the future of the institution rests.

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## **1.2 MISSION STATEMENT**

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Athens State University, offering coursework at the junior and senior level, is the baccalaureate degree granting institution of the Alabama Community College System. Governed under the authority of the Alabama State Board of Education, and in conjunction with the other institutions of the Alabama Community College System, Athens State University provides affordable education in an environment which recognizes diversity and nurtures the discovery and application of knowledge. Located in northern Alabama, Athens State University acknowledges a commitment to primarily serve transfer students of the Alabama Community College System as well as students from other accredited institutions of higher education. The University prepares students for professional careers, graduate school, lifelong learning, and enrichment. The University, through quality teaching, individual attention, and a varied course delivery system, assists students in the timely achievement of their professional and career goals. In addition, Athens State University offers programs of continuing education and community services that provide a variety of cultural and professional opportunities.

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## **1.3 INSTITUTIONAL GOALS**

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1. To provide educational opportunity to post-secondary students through carefully planned and implemented programs of study.
2. To serve the students effectively and efficiently by providing varied scheduling and cooperative arrangements with other institutions.
3. To recruit, retain, and promote professional development of qualified faculty and staff.
4. To provide and maintain appropriate learning resources which are supportive of student learning, quality teaching, scholarly research, diversity, and technological proficiency.
5. To develop and maintain periodic internal evaluation to ensure that all programs are operating within a manner consistent with the mission of the University.
6. To provide opportunities for students to expand their intellectual, social, and cultural horizons.
7. To provide and maintain student services which furnish necessary information, financial assistance, and guidance counseling to assist progress toward personal, academic, and career goals.
8. To promote and maintain effective student recruitment and retention.
9. To promote the use of appropriate University and community resources to facilitate educational and training programs for the diversified needs of business, industry, education, and government in addition to providing cultural and intellectual enrichment.
10. To acquire and administer efficiently and effectively all fiscal resources.
11. To provide, develop, and maintain a physical plant appropriate for the support of the University programs.
12. To effectively communicate the University's vision and goals as a baccalaureate granting institution to internal and external agencies.

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## **1.4 ACCREDITATIONS**

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### **Accreditations**

- Alabama State Department of Education
- Association of Collegiate Business Schools and Programs
- National Council for Accreditation of Teacher Education
- The Southern Association of Colleges and Schools

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## **PART TWO**

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### **ORGANIZATION & ADMINISTRATION**

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- 2.1 GOVERNANCE OF ATHENS STATE UNIVERSITY**
- 2.2 ORGANIZATIONAL CHART**
- 2.3 POSITION DESCRIPTIONS OF ADMINISTRATORS**
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## **2.1 GOVERNANCE OF ATHENS STATE UNIVERSITY**

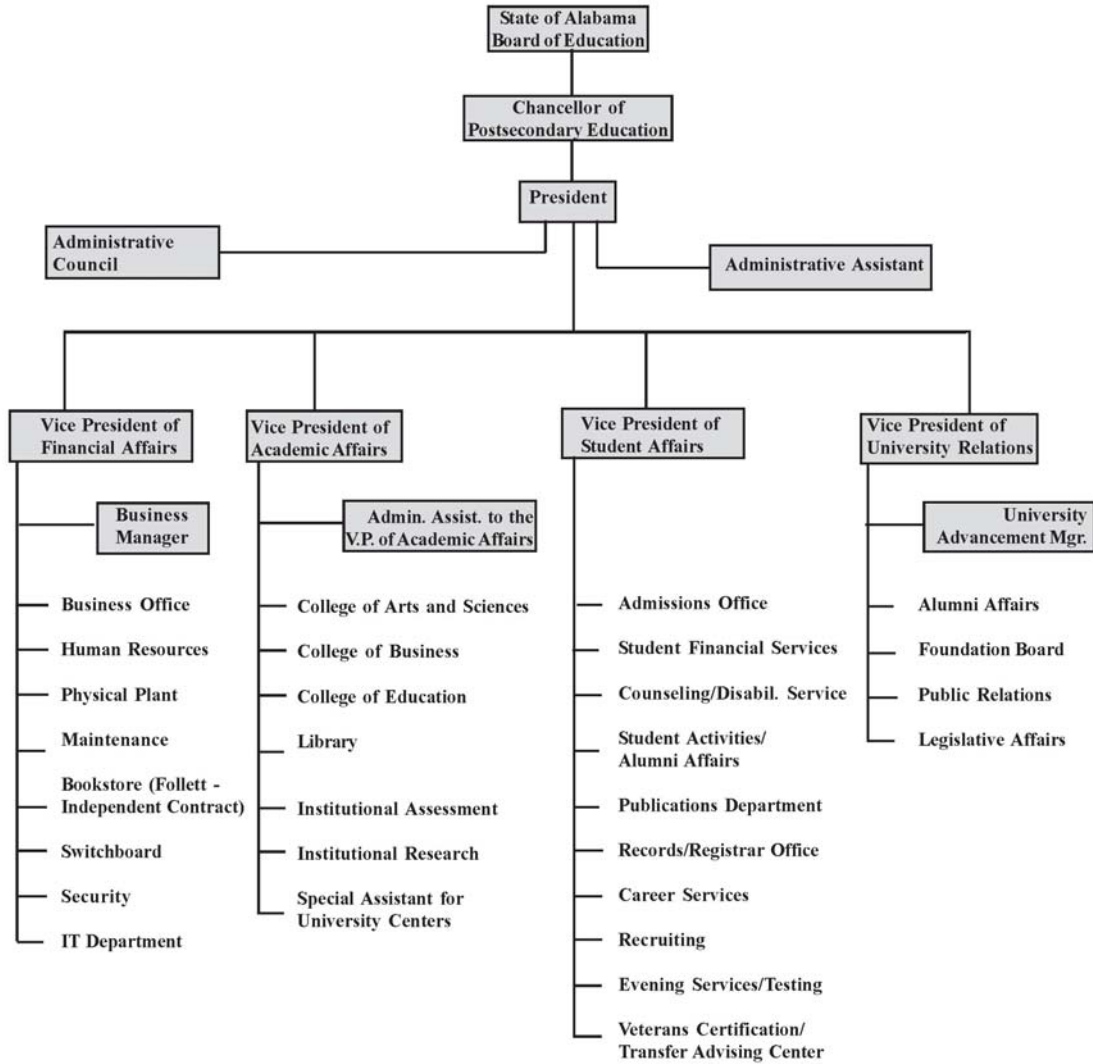
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Athens State University is under the control of the State Board of Education. The President of the University is directly responsible to the State Board of Education through the Chancellor of the Alabama Community College System or a designated representative.

## 2.2 ORGANIZATIONAL CHART

ATHENS STATE UNIVERSITY ORGANIZATIONAL CHART - 2008-2009



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## 2.3 POSITION DESCRIPTIONS OF ADMINISTRATORS

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### I. ADMINISTRATION

#### A. STATE BOARD OF EDUCATION

The State Board of Education has the authority for controlling and supervising Athens State University within the limitations prescribed by law.

The State Board of Education, upon recommendation of the Chancellor:

1. makes rules and regulations for the governance of Athens State University;
2. prescribes the courses of study to be offered and the conditions for granting degrees;
3. appoints the president of Athens State University;
4. directs and supervises the expenditures of Athens State University; and
5. disseminates information concerning and promoting interest in Athens State University.

The State Board of Education meets monthly except in December. It usually meets in Montgomery unless it is meeting periodically at another location such as a college campus. Items are placed on the agenda by submission in writing at least thirty days prior to the meeting.

#### B. CHANCELLOR OF THE ALABAMA COMMUNITY COLLEGE SYSTEM

The Chancellor is appointed by the State Board of Education and acts as chief executive officer of the Postsecondary Education Department of the State Board of Education.

##### 1. Powers and Duties of the Chancellor

The

Chancellor:

- a. executes and enforces the rules and regulations of the State Board of Education governing the community colleges, technical colleges, and Athens State University;
- b. interprets the rules and regulations of the State Board of Education concerning the junior, technical colleges, and Athens State University;
- c. administers the office of the Chancellor and appoints to positions of employment such professional, clerical, and other assistants, including specialists and consultants, on a full- or part- time basis as may be needed to assist the Chancellor;
- d. has the authority to take any and all actions necessary and proper to administer policies, rules and regulations of the State Board of Education in carrying out its responsibility for the management and operation of the community colleges, technical colleges, and Athens State University;
- e. prepares, or causes to be prepared, an annual report to the State Board of Education;
- f. prepares, or causes to be prepared, and submits for approval by the State Board of Education a budget;
- g. prepares, or causes to be prepared, and submits for approval and adoption by the State Board such legislative measures as are needed for further development and improvement of the community colleges, technical colleges, and Athens State University.

##### 2. Communication Between Athens State University and the Department of Postsecondary Education.

The Department of Postsecondary Education is the agency which serves as the liaison between the State Board of Education and Athens State University. In order to expedite communications concerning Athens State University, the President is authorized to communicate with the Chancellor or designee.

All reports, requests for budget changes, coordination of public relations, out-of-state travel requests, routine correspondence, and other communications, should be directed to the Chancellor through the President's office.

**C. ALABAMA COMMISSION ON HIGHER EDUCATION (ACHE)**

In regard to state-supported institutions of higher education, the Commission serves in an advisory capacity to the Legislature and the Governor in respect to matters pertaining to: (1) recommendations of Operations and Maintenance budget, and (2) recommendations for allocations of state funds for capital improvements. The Commission has approval authority with any new program of study; however, an appeal may be made to the Alabama legislature if ACHE turns down a new program. All communications between the Alabama Commission on Higher Education and Athens State University must be coordinated through the Chancellor.

**D. ADMINISTRATIVE POSITIONS**

The President will develop or cause to be developed an appropriate organizational structure with attendant positions and job descriptions.

**1. Administrative Salary Schedule**

The President of the University shall affix the salaries of individuals who do not have a salary schedule.

**2. Personnel Who May Be Placed on Salary Schedule for Administration**

The following additional rules shall govern the personnel paid on this  
schedule

- a. Personnel will serve at the pleasure of the President and will be eligible to attain non-probationary status.
- b. Personnel will be on duty the same days as the President and administrative staff of the University.
- c. Personnel may earn annual leave as set forth in State Board Policy 610.01.
- d. Personnel on this salary schedule will be employed two hundred sixty days (260) excluding allowable leave and official holidays.

## II. JOB DESCRIPTIONS

### **Position Title: THE PRESIDENT**

The President is responsible for administering and supervising the total University program. The President of the University is responsible for the entire operation and direction of the institution, although many of these duties and responsibilities are delegated to staff members.

The President shall:

1. follow established policies and procedures of the State Board of Education and the Chancellor.
2. follow established channels in relating the affairs of the University to the Chancellor and the State Board of Education.
3. represent the needs of the University at the state and national levels by attending President's meetings, serving on special interest committees, and attending regional and national meetings as appropriate.
4. appoint all faculty and staff of the institution in prescribed procedures, assign their duties and responsibilities, and ensure periodic evaluation.
5. report data and information in a timely and accurate manner to the State Department of Postsecondary Education.
6. manage the fiscal affairs of the University efficiently and economically.
7. interpret the mission of the University to local business, industry, and civic interests.
8. involve the community in planning programs and services to be offered by the University.
9. promote the maximum utilization of University's facilities and resources to the benefit of the community.
10. promote the articulation of the University's programs with secondary and other postsecondary institutions.
11. secure, as appropriate, governmental and other outside funding for University projects.
12. provide leadership for maintaining quality educational programs.
13. create an atmosphere conducive to high faculty, staff, and student morale.
14. effectively delegate responsibility and authority to appropriate administrative officers.
15. maintain open channels of communication with faculty, staff, and students.
16. direct long-range planning activities which include input from the faculty, staff, and students.
17. develop annual and long-range goals for the University.
18. provide effective leadership and management for the overall direction of the institution.
19. coordinate Title VI activities.

**Position Title: ADMINISTRATIVE ASSISTANT TO THE PRESIDENT**

The Administrative Assistant to the President serves as office manager and is responsible for providing assistance to the President in all administrative matters.

The Administrative Assistant to the President shall:

1. research institutional policy in accordance with the policies and procedures of the State Board of Education.
2. prepare correspondence for the President.
3. serve as liaison between the President's Office and the offices of the Vice President of Academic Affairs, Vice President of Student Affairs, Vice President of Financial Services, and the Vice President of University Relations Office.
4. be responsible for providing administrative assistance to the President in the day-to-day operations of the University.
5. serve as a member of the Administrative Council.
6. represent the President on various committees.
7. perform other appropriate duties as assigned by the President.

**Position Title: VICE PRESIDENT OF ACADEMIC AFFAIRS**

The major responsibility of the Vice President of Academic Affairs is the administration of the academic program.

The Vice President of Academic Affairs shall:

1. serve as advisor to the President in matters of academic policy and administration.
2. serve as an advocate for the faculty by determining faculty needs through the College Dean; recommend faculty appointments, dismissals, and the professional development of faculty members to the President.
3. maintain academic standards and improve and develop the total academic program.
4. supervise and coordinate the curriculum, courses, and methods of instruction.
5. make regular reports on academic affairs to the President, covering work done and recommendations for future development.
6. assist the President in preparing reports to various accrediting agencies.
7. recommend adequate facilities of instruction: space, equipment, library.
8. recommend College and departmental budgets.
9. determine and assign teaching responsibilities of faculty members.
10. coordinate with the College Deans in preparing the class schedule for each semester.
11. oversee classification, assignment, and approval of academic programs.
12. cooperate with the Vice President of Student Affairs in organizing an orientation program for new students.
13. serve as a member of the Administrative Council.
14. organize the activities of Commencement Week.
15. review the University catalog and other academic bulletins.
16. maintain liaison with entities that affect the academic program.
17. represent the University at such meetings as pertain to the office.
18. serve as an ex officio member of administratively appointed academic committees.
19. approve requisitions for all purchases of materials and equipment related to the instructional program.
20. cooperate with the Office of Institutional Planning, Research and Assessment on institutional efforts.
21. lead institutional planning efforts as required by the Southern Association of Colleges and Schools, the Alabama Commission on Higher Education, and the Chancellor's Office.
22. coordinate long-range planning, including:
  - A. administrative professional development retreats.
  - B. Chancellor's Long-Range Plan.
  - C. Alabama Commission on Higher Education Long-Range Plan.
  - D. Institutional Effectiveness Planning Document
23. supervise grant writing functions.
24. oversee operation of the Office of Institutional Planning, Research and Assessment.
25. perform other duties as delegated by the President.

**Position Title: VICE PRESIDENT OF STUDENT AFFAIRS**

The major responsibility of the Vice President of Student Affairs is to administer student services by providing consistent, timely, and accurate information and services to students, faculty, and staff in an effort to enhance a complete educational experience for all students.

The Vice President of Student Affairs shall:

1. be responsible for staff supervision of the:
  - A. Executive Assistant to the Vice President of Student Affairs
  - B. Coordinator of Student Activities/Alumni Affairs
  - C. Director of Counseling Services
  - D. Director of Admissions and Records
  - E. Director of Career Services and Cooperative Education
  - F. Director of Printing and Publications
  - G. Director of Student Financial Services
  - H. Coordinator of Recruiting
  - I. Coordinator of Testing and Evening Services
  - J. Coordinator of Transfer Advising Center/ Veteran's Affairs
  - K. Coordinator of Records/Registrar
2. exhibit knowledge of the University's rules and regulations.
3. attend and actively participate in University sponsored events.
4. attend and actively participate in job related professional organizations.
5. attend workshops and conferences recommended and approved by the President of Athens State University.
6. direct, manage, and attend called meetings, seminars, and other pertinent activities that will enhance the growth and efficiency of Student Affairs at Athens State University.
7. demonstrate affability and willingness to cooperate with the University's administration in the areas of faculty responsibilities, admission policies, procedures, and the goals and mission of Athens State University.
8. represent the University on state and regional committees as requested or assigned.
9. be available to provide educational counseling to University students, prospective students, and Student Affairs personnel.
10. be involved in the budget process for the University and Student Affairs.
11. serve as a member of the President's Cabinet.
12. serve as a member of the Administrative Council.
13. serve as ADA Coordinator of the University.
14. prepare budget for Student Affairs.
15. perform other duties assigned by the President.

**Position Title: VICE PRESIDENT OF FINANCIAL AFFAIRS**

The Vice President of Financial Affairs is responsible for the Administration and coordination of the various service functions of a business nature essential to the operation of the University.

The Vice President of Financial Affairs shall:

1. account for all funds received and disbursed by the University.
2. prepare the budget under the direction of the President.
3. keep adequate fiscal control of the University budget, including the establishment and maintenance of proper systems of internal control.
4. serve as Chief Purchasing Agency for the University with the responsibility for processing all requisitions and purchase orders for the University.
5. supervise financial operations of auxiliary services.
6. oversee the personnel functions for all employees, including maintenance of personnel records, payroll, attendance, sick leave, retirement, insurance, and any other information regarding employment of all employees.
7. supervise fiscal aspects of Federal Research Projects and Grants.
8. make financial reports as required by state and federal agencies.
9. supervise fiscal aspects of federal and other student financial aid programs.
10. countersign all checks with the President.
11. supervise operation and maintenance of physical plant.
12. supervise security and safety programs.
13. supervise operation of institutional technology department.
14. supervise and control accounting for scholarship funds.
15. maintain inventory of University furniture and equipment.
16. manage and supervise investments of any temporary surplus funds.
17. maintain fiscal supervision over student organizations.
18. coordinate Energy Conservation measures to reduce utility usage in order to cut costs.
19. supervise all contracted new construction and renovation projects.
20. serve as a member of the Administrative Council.
21. coordinate all financial activities to determine that all legal requirements are met (e.g., bid laws, travel, etc.).
22. perform other general duties as assigned by the President.

**Position Title: VICE PRESIDENT OF UNIVERSITY RELATIONS**

The Vice President of University Relations is charged with the responsibility of managing activities related to the analysis, planning, execution, control, and evaluation of fund raising, marketing and governmental relations and public relations programs, and working with and through the Foundation board for all fund raising programs.

The Vice President of University Relations shall:

1. provide administrative and executive staff support to the Foundation Board in all its activities.
2. create appropriate record keeping system(s) for tracking donor participation, identification, and cultivation of prospects plus volunteer involvement in programs.
3. train and supervise paid and volunteer support personnel in establishing and maintaining the record keeping system(s).
4. analyze and implement general public relations programs, working with volunteer and staff committees/ task forces, and recommend programs which will enhance and advance the mission, goals, and objectives of the University.
5. prepare, or cause to have prepared, all content and materials needed for approved fundraising and public relations programs including proposals to donors and donor prospects, gift recognition/ acknowledgment materials, appeal letters, etc.
6. research, or cause to have researched, data on potential individuals, corporations, and Foundation donors identified by Board members, staff and other volunteers, or by virtue of their gift history to like organizations or activities.
7. keep up to date on current fundraising, marketing and public relations programs, practices, and procedures being utilized in the not-for-profit sector.
8. prepare detailed plans of actions for all approved fundraising and community relations programs including budgets to support their implementation.
9. work with the Foundation Board of Directors in analyzing the fundraising programs and planning for future activities.
10. work with staff and volunteers to ensure that all fundraising and community relations programs are consistent with the overall mission and with the philosophy and concepts of each program and service.
11. research material for major funding sources.
12. act as liaison with faculty and staff to explore feasible funding sources.
13. oversee and work with alumni and the alumni association in all of its activities.
14. work with campus, community, and legislative groups as appropriate.
15. serve as a member of the Administrative Council.
16. assist the President with community relations as needed.
17. serve as a liaison to governmental and legislative groups that impact Athens State.
18. Oversee the creation and implementation of all University marketing efforts.
19. perform other appropriate duties as assigned by the President.

**Position Title: COLLEGE DEANS**

The major responsibility of the College Dean is the administration of the day-to-day functions of an academic College of the University.

The College Dean shall:

1. work with the faculty to achieve the mission of the school in the areas of teaching, scholarship, and service.
2. request and allocate the budget for the school.
3. provide leadership in the area of faculty development and professional growth.
4. recommend faculty for promotion and continuing contract during probationary periods to the Vice President of Academic Affairs.
5. conduct all annual faculty evaluations and coordinate student assessments of faculty.
6. represent and promote the College to both internal and external publics consistent with institutional policies.
7. review and approve all College curricular requests.
8. encourage faculty grant writing and acquisition of external funds in coordination with the Vice President of Academic Affairs.
9. implement academic policies established by the University and College.
10. commit to and support of the development of multicultural diversity on the campus.
11. foster the recruitment and retention of qualified students and provide leadership to students in academic endeavors and co-curricular activities.
12. assist in the establishment of and support for the orderly review of programs and curriculum. Ensure that program reviews follow Department of Post secondary Education and Alabama Commission on Higher Education guidelines.
13. assist faculty in the advisement of student majors in the school.
14. respond to student academic concerns and seek resolution at the faculty level.
15. plan the academic schedule of courses and times with appropriate input from departments.
16. participate in the establishment of long-range planning documents for both the College and institution.
17. recommend all part-time faculty to the Vice President of Academic Affairs and President.
18. recommend all search and screen committee members to the Vice President of Academic Affairs.
19. conduct orientation of all new faculty and adjunct faculty.
20. appoint Department Chairs with the concurrence of the Vice President of Academic Affairs.
21. supervise the activities of the department chairs and advise and mentor new department chairs.
22. ensure regular department and College meetings.
23. ensure student assessment for all curricular majors.
24. foster an institutional attitude and department/College climate which promotes the free exchange of ideas while preserving a collegial environment which promotes advising for the College.
25. ensure compliance with the Southern Association of Colleges and Schools accreditation guidelines, appropriate state regulations, and professional accreditation guidelines where applicable.
26. assist in catalog review of College sections.
27. develop long range plans and institutional mission plans for Southern Association of Colleges and Schools and Department of Postsecondary Education requirements.
28. perform other duties as assigned by the Vice President of Academic Affairs and the President.

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## **2.4 UNIVERSITY COMMITTEES**

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Much of the work at Athens State University is carried out through various committees. It is understood that faculty participation on these committees is a necessary component of the University's functioning. The University's committees are divided into three categories: faculty/staff volunteer committees, appointed/elected committees, and standing faculty volunteer committees. The committees and their functions are as follows:

**Faculty/staff Volunteer Committees** – Campus-wide volunteers for these committees are sought every two years.

**Campus Facilities Committees**

1. Coordinate improvement and renovation efforts.
2. Establish and coordinate usage procedures.
3. Provide input into the grounds plans.
4. Provide input into the long-range building plan.
5. Conduct campus-wide storage assessment.

**Drug-Free Workplace Committee**

1. Review compliance with state and federal guidelines.
2. Plan and coordinate drug education programs for faculty and staff.
3. Distribute literature relating to a drug-free environment.
4. Coordinate drug prevention activities.

**Health and Safety Committee**

1. Conduct periodic surveys of the institution for safety procedures/hazards.
2. Develop and disseminate information about health and safety procedures.

**Heritage Committee**

1. Conduct historical research on campus buildings.
2. Coordinate historical renovation efforts.

**Appointed/elected University Committees** – Membership on these committees are reviewed each year and membership is updated as necessary.

**Americans with Disabilities Act (ADA) Committee (appointed)**

1. Coordinates compliance with ADA regulations.

**Admissions Committee (appointed)**

1. Review admissions policies and procedures and student applications

**Banner Coordinating Committee (appointed)**

1. Meet regularly to discuss issues that affect functionality and operation of Banner
2. Communicate to all Banner users issues and resolution of operational aspects of Banner
3. Make recommendations to Administrative Cabinet on major changes and/or upgrades

**Concert/ Lecture Series Committee (appointed)**

1. Plan and implement an annual schedule of cultural activities on campus.

**Graduation Advisory Committee (appointed)**

1. Meet as needed to discuss graduation ceremony procedures
2. Review requests made by students regarding graduation

**Historic Tree Project Committee (appointed)**

**Human Subjects Committee (appointed)**

1. Review all projects involving human subjects in accordance with federal guidelines.

**Planning Council (appointed)**

1. Reviews the planning process, analyze data related to institutional goals
2. Chart planning procedures to ensure Institutional Effectiveness
3. Recommends strategies and activities for long-range planning effectiveness.

**Recruiting/Marketing Committee (appointed)**

**Registration Committee (appointed)**

1. Reviews registration procedures, determine registration dates and make other recommendations as needed

**Scholarship/Financial Aid Committee (appointed)**

1. Sets policy for, reviews applications for, and awards academic scholarships on an annual basis
2. Reviews financial aid policy and hears student appeals for reinstatement of aid on an exception basis

**Sick Leave Bank Committee (elected)**

1. Provide information about the sick leave bank policy
2. Coordinate activity of the sick leave bank

**Teacher Education Council**

1. Develop and achieve teacher education goals
2. Evaluate effectiveness of the curriculum
3. Approve proposed changes
4. Recommend policies and criteria with respect to admission and retention of students
5. Recommend policies for satisfactory completion of teacher education program and serving as liaison between departments and schools

**Institutional Assessment Committee**

1. Provide quality assurance for Athens State University's institutional effectiveness process through the review and evaluation of Annual Assessment Plans (AAP) and Annual Assessment Reports (AAR)

**Internal Review Committees**

- College of Arts & Sciences
- College of Business
- College of Education
- Financial Affairs
- Student Affairs
- University Relations

**Standing Faculty Committees – faculty volunteers are sought each fall for the committees listed below. These committees accept charges from the Faculty or the Faculty Senate.**

**Academic Affairs Committee**

1. Prepare recommended academic calendar; monitor calendar

**Curriculum Committee**

1. Review all curriculum proposals for addition of courses, changes in degree requirements, changes in course descriptions for existing courses, and make recommendations to the Faculty Senate

**Faculty Affairs Committee**

1. Monitor and periodically recommend updates to the Faculty Handbook
2. Review resolutions related to faculty issues

**Learning Resources Committee**

1. Monitor operation of the library (facilities, holdings, services, allocation formula)

**Sabbatical Committee**

1. Review Sabbatical Leave applications submitted by faculty
2. List merits of each application
3. Submit findings to the Vice President of Academic Affairs

**Faculty Elections Committee**

1. Organize and conduct yearly elections of senators from each College.
2. Organize and conduct yearly election of presiding officer from slate of elected senators.

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## 2.5 ADMINISTRATIVE EVALUATION

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At Athens State University, administrators are defined by three criteria: 1) responsibility for management of people who report to them, 2) responsibility for management of tasks with specific timelines, and 3) responsibility for building and/or maintaining a budget. It is understood that the scope of these responsibilities determines the level of the administrator; that is, some administrators are top level administrators while others manage smaller components of campus functions.

All administrators at Athens State University are evaluated annually. Evaluation forms are distributed by the Administrative Assistant to the President. This evaluation is conducted for two reasons: 1) professional feedback and growth and 2) legal records as mandated by state requirements.

This evaluation, which occurs in the spring semester, begins with Likert scale instruments completed anonymously by the individuals under the administrator's supervision. For example, while only faculty in a specific College may evaluate that College Dean, all faculty and staff may evaluate the President. While it is required that the evaluation be done, it is not required that every faculty member participate. This information is sent directly to the pertinent administrator. An additional, formal evaluation is conducted by the administrator's immediate superior for legal purposes.

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## **2.6 DESCRIPTIONS OF SUPPORT OFFICES**

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### **Coordinator of Admissions**

The Coordinator of Admissions is responsible for supervision of the Admissions and Records Office which includes supervision of the office personnel; coordination of the application and registration process of all students; chairing the policy-making Admissions Committee; and assisting faculty, staff and students with any matter related to the admissions process.

### **Coordinator of Records/ Registrar**

The Coordinator of Records is responsible for supervision of the recording of academic credit, transcribing, and general management of Records personnel. The coordinator also assists with the graduation audit process and grade entry process.

### **Coordinator of Student Activities/Alumni Affairs**

The Coordinator of Student Activities/ Alumni Affairs is responsible for the University newspaper, the Student Government Association, Athletic Hostesses, Student Center Student activities, and coordinating fraternities, societies, clubs, and organizations. The Coordinator acts as the University's liaison with the Alumni Association, and coordinates and supervises all functions of the Alumni Association.

### **Director of Publications**

The Director of Publications is responsible for managing all aspects of the design and development of most campus publications as well as the postal services and duplicating services for the University. Also serves as a liaison between the University and outside services for major printing projects.

### **Director of Counseling and Disability Services**

The director is responsible for providing personal, social, academic and career counseling to University students on an individual or group basis. Works with all employees of the University to insure compliance with Title II of the Americans with Disabilities Act and Section 504 of the Rehabilitation Act of 1973.

### **Director of Career Placement and Cooperative Education**

Directs all policies and procedures related to student qualifications, application process, selection process, and evaluation process of the Cooperative Education program. Directs the collection of student and employer information and responds to placement credentials to facilitate university students' placement in jobs.

### **Director of Student Financial Services**

The Director of Student Financial Services is responsible for all phases of operation of Financial Aid including budget, payroll disbursement and reports to the Department of Health, Education and Welfare, the Office of Education, the State Department of Education, etc. Duties in the area of financial aid include processing and maintaining loans and scholarships and assisting students with their aid applications.

### **Coordinator of Recruitment**

The Coordinator of Recruitment is responsible for communicating to prospective students the admissions requirements and the programs available at Athens State University. Additionally, the coordinator works with the Student Affairs staff, coordinates schedules for the recruiting staff, plans student recruitment budget and frequently visits Alabama junior/community colleges to discuss the University's programs.

**Coordinator of Testing and Evening Services (part-time)**

The Coordinator is responsible for performing various procedures and functions to serve primarily the evening student population in all aspects of university life. In addition, the Coordinator is responsible for having available and/or administering various test materials and brochures required for admission to Athens State University, testing materials for college credit, and testing information for graduate school admission.

**Coordinator of Transfer/Advising Center and Veterans Affairs**

The Coordinator of the Transfer/Advising Center and Veterans Affairs is responsible for supervising and coordinating the daily activities of the Center. This position will also be responsible for counseling and certifying all veterans who are receiving Veterans Educational Benefits (federal). The coordinator is responsible for ensuring that students who wish to enroll in any college within the University will receive the necessary assistance and information to become a successful student. The Coordinator of the Center will also be responsible for keeping the Center Staff up to date on information that affects transfer students.

**International Student Advisor**

The International Student advisor is responsible for verifying F-1 status students, maintaining documentation of F-1 students' status during their program at Athens State University, and advising prospective F-1 status students on admissions and I.N.S. requirements for entry into Athens State University.

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## **PART THREE**

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### **FINANCIAL/ BUSINESS OFFICE INFORMATION**

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- 3.1 GENERAL INFORMATION
- 3.2 BUDGETS
- 3.3 BIDS AND QUOTATIONS
- 3.4 PURCHASING
- 3.5 TRAVEL

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## 3.1 GENERAL INFORMATION

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**Note:** For the sake of brevity, the Office of Financial Affairs will be referred to as the Business Office in this section.

**A. Accounting Procedures**

The Alabama Community College System Procedural Manual is the guide for fiscal policies governing Athens State University. The Business Office maintains this manual.

**B. Tuition, Fees, Salaries, Etc.**

Course fees, tuition, and salary schedules must be approved by the State Board of Education. For the refund policy, see the current Athens State University catalog.

**C. Student Activity Fee**

In addition to the activity fee assessed for all students per credit hour, the President is authorized to expend an amount from the general fund for general activities of the institution. The Business Office has information on the dollar amount which the President may expend.

**D. Petty Cash**

Often it is necessary to make small purchases on behalf of the institution when it would be inefficient to prepare a purchase order. To meet this need, a petty cash fund has been established. Receipts must be provided to substantiate use of the cash. Petty cash funds are only for the purpose of infrequent purchases, and must not exceed the current limits for petty cash purchases. Information on current petty cash purchase limits can be obtained from the Business Office. Petty cash purchases must be approved by the appropriate Dean or Vice-President before reimbursement can be made. Reimbursement for purchases will only be made for the cost of purchase **less sales tax** (Athens State University is tax exempt and therefore cannot reimburse sales tax).

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## 3.2 BUDGETS

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**A. Submission of Budgets**

The budget of Athens State University is submitted to the Chancellor of the Department of Postsecondary Education annually for recommendation to the State Board of Education for approval.

**B. Budget Adjustments**

The Chancellor is authorized to approve budget adjustments during the year if they are judged to be necessary, providing that these budget adjustments at no time exceed estimated available funds to Athens State University. The President is authorized to amend the budget within a named category; however, funds are not to be transferred from one category to another without written approval of the Chancellor.

**C. Personnel Adjustment in Budgets**

On occasion, it becomes necessary for institutions under the State Board of Education to make adjustments in personnel and budgets for such personnel not to exceed appropriations and allocations to such institutions. The President may permit salary adjustments for faculty and staff when such would be in keeping with increased responsibilities for those concerned.

**D. Financial Statements**

Financial statements of Athens State University are submitted to the Chancellor in the form prescribed by the Department of Postsecondary Education. These statements are submitted annually.

**E. Method of Payment for Instructional Employees**

The salary for three-, nine-, and twelve-month contracts as reflected in the salary schedule may be disbursed in equal monthly payments for convenience in bookkeeping. Instructors, librarians, and counselors are not paid for holidays or breaks between semesters; therefore, should an employee terminate employment before such contract is fulfilled, a reduced last payment will be computed on the daily rate:

- 1. Daily rate for three-month contract (summer employment) -**  
The daily rate is calculated by dividing the three-month salary by the required working days (54).
- 2. Daily rate for nine-month contract (academic term) -**  
The daily rate is calculated by dividing the nine-month salary by the required working days (175).
- 3. Daily rate for twelve-month contract -**  
The daily rate is calculated by dividing the twelve-month salary by the required working days (229).

**F. Payroll Check**

Checks may normally be picked up on the last working day of the month at the Cashier's Office counter during regular office hours. Audit procedures require that if a person obtains a check for another person, the one obtaining the check must produce a signed statement from the person to whom the check is drawn, indicating to whom the check should be given (e.g., "Until I rescind this action, \_\_\_\_\_ may pick up my check each month, signed and dated \_\_\_\_\_"). In an emergency, a telephone call can be made to the Business Office directing that the check be given to someone other than the person to whom the check is drawn. In this case, the Business Office must be able to identify the payee before the check can be released. At the employee's option, a payroll check may be automatically deposited via computer at a bank. The Business Office has details on how to start this direct deposit procedure.

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### **3.3 BIDS AND QUOTATIONS**

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Expenditures for labor, service, the purchase or lease of materials, equipment, supplies, or other personal property in excess of a set dollar amount must be made under contractual agreement entered into by free and open competitive bidding on sealed bids to the lowest responsible bidder. Items of like nature are classed together with the total purchase of the entire year not to exceed a set dollar amount. All purchases made in excess of the set dollar minimum and under a set dollar maximum are to be reported to the State Board of Education quarterly with the following information included: bid date, firms invited to bid, summary of bids received, name of firm awarded contract with reason for awarding contract. Purchases estimated to exceed a set dollar maximum are to be submitted and approved by the State Board of Education prior to the actual purchase. The Business Office has information on the current expenditure limits.

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## 3.4 PURCHASING

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It is the policy of Athens State University not to discriminate in its purchasing practices. The University strives to obtain the best products at the lowest possible price. To insure that minority owned businesses are given an equal opportunity, a copy of the "Small Minority Owned Business Directory" is maintained in the Athens State University Library.

### A. Purchase Requisition Procedure

**The institution is responsible for the payment of purchases made only through the approved purchase procedures.** The following procedures should be followed for the acquisition of all materials, supplies, equipment, repair, rent services, and other obligations of the institution:

1. A standard requisition form must be used on all purchase requests, with the exception of maintenance contracts, utilities, travel, and foundation monies.
2. The form should originate from and be prepared by the department wishing to make a purchase, listing the items requested, giving full description, catalogue name, part number, size, weight, estimated cost, and other pertinent information.
3. The vendor's name, address, and telephone number should be typed at the top of the request.
4. The department making the request is responsible for verifying that unencumbered funds are available in the appropriate budget unit. If funds are not available, an approved budget change must be attached to the purchase request before submitting to the Business Office.
5. Preparation of specification for items to be purchased through competitive bids will be a joint responsibility between the Business Office and the requesting unit.
6. After the purchase request has been completed, approved, and signed by the appropriate budget manager, Vice-President, dean, director and/or College Dean, the Business Office then verifies funds and issues an official purchase order on behalf of the University. Purchase Orders exceeding a set purchase order limit must be approved by the President of the University. Purchases over another set limit must be approved by the State Board of Education. Information on current purchase order limits can be obtained from the Business Office.

### B. Purchase Orders

1. A properly executed purchase order constitutes a contract which is binding to both the institution and the vendor. All purchase orders, adjustments, cancellations, and/or revisions to purchase orders must be in writing from the Business Office.
2. All negotiations with the vendor pertaining to prices, terms, conditions, substitutes, and deliveries are to be handled through the Business Office.
3. When a purchase order has been assigned by the Business Office, copies will be distributed as follows:
  - a. Original to vendor
  - b. Encumbrance copy (pink copy) to the Accounting Department
  - c. File copy (yellow copy) to the department where the purchase request originated.

d. Receiving copy (gold copy). (**Note:** Upon receipt of merchandise or service, the receiving report is to be signed and returned to the Business Office. The Business Office should be advised of all refunds.)

4. Purchases must not be made unless an official purchase order is issued following the above procedures. Confirmatory type purchase orders defeat the purpose of a budgetary accounting system. Emergency purchases are discouraged. Each area should make every effort to plan ahead and anticipate needs. Authorization to make emergency purchases should be limited to the Vice-President of Financial Affairs or the Business Manager, and, in limited cases, to the President in order to maintain control of purchasing and the budget. A legitimate emergency should exist before deviating from standard procedure.

**C. Control and Inventory of State and School Owned Supplies and Equipment**

Neither supplies nor equipment owned by Athens State University and the State Board of Education shall be used for personal gain or other purposes by an Athens State University employee or other individuals. No individual shall remove equipment from the campus without clearing such actions with the Vice-President of Financial Affairs.

The Vice-President of Financial Affairs will maintain an annual inventory of equipment. Any person assigned the responsibility of a piece of University equipment will be expected to deposit that equipment with the Vice-President of Financial Affairs prior to severance with the University.

The State Board of Education has adopted a policy which states that all fixed assets having a set minimum cost and having a useful life of one (1) year or longer must be capitalized and thus be inventoried. Detailed procedures of this inventory system are available from either the Business Office or Maintenance Department.

**D. Disposal of Real Estate Property (Land & Buildings)**

The Procedures Manual is available in the President's office or the Business Office for presentation of a property transaction resolution to the State Board of Education.

**E. Disposal of Tangible Property**

1. The President and Vice-President of Financial Affairs shall certify the description of the property and the condition of such property, shall give justification in writing for disposal, shall estimate the value of such property, and shall keep such certification as part of the permanent record of the school.
2. Notice of public sale shall be publicly advertised at least twice at two-week intervals, and the advertisement is to include the date, time, and place that sealed bids will be opened.
3. Revenues from the sale of personal properties are to be recorded as non-revenue receipts and deposited in the fund from which the original purchase was made, if such is attainable. In the event the original purchase fund cannot be determined, funds are to be deposited in the general (unrestricted) fund.

**F. Copiers/Office Machine Maintenance**

Service contracts for continued maintenance and repair of equipment are negotiated by the Business Office. It is important that departments notify the Accounts Payable Office to determine whether or not equipment is covered by a maintenance agreement.

**G. Telephone Installations or Repairs**

A request for a new telephone installation, change in an existing telephone, or equipment problems must be coordinated through the Accounts Payable Office.

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## 3.5 TRAVEL

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### A. Transportation

1. Athens State University has vehicles available in the motor pool for official travel essential to the operation of the institution. Leasing of automobiles is prohibited. The use of rental cars for out-of-state trips must be justified and approved prior to the travel.

Drivers of all owned, hired, or borrowed vehicles used in the every day operation of Athens State University on official school business approved by the President, but not in regularly scheduled transportation of students to and from school, must have a valid Alabama driver's license. **If a vehicle is reserved for this purpose, a copy of the license must be on file in the Business Office.**

The accident and arrest record of such drivers, which is on file at the State Department of Public Safety, is subject to review and approval by the President or designee. Disapproval by the President of such driver experience records shall constitute adequate grounds for transfer to non-driving duty or dismissal.

2. **Scheduling of Vehicles**

Faculty and staff members may schedule the use of institutional vehicles for authorized and approved institutional business by calling the Executive Assistant to the Vice-President of Financial Affairs.

Under certain circumstances, higher priority institutional needs may cause use of a vehicle to be delayed or canceled. Two working days notice must be given to the Executive Assistant to the Vice-President of Financial Affairs before one person may override vehicle reservations.

At the time a trip is scheduled and again just before the vehicle is obtained, the Business Office will assist person making the request in determining whether other persons could share in transportation to a common destination.

The person using the vehicle is responsible for the return of the vehicle in good condition (remove cups, newspapers, empty ashtrays, etc.)

3. **Credit Cards**

Credit cards for several gasoline companies are available at the Business Office for use with an institutional vehicle. The institution maintains a number of credit cards for use by faculty and staff on institutional business. Request for changes and/or additional cards should be made to the Business Office. Lost or stolen cards must be reported immediately to the Executive Assistant to the Vice-President of Financial Affairs. Individuals are responsible for misuse of University owned credit cards. **Gasoline cards are to be used for purchase of gasoline for state owned vehicles only.**

### B. Travel

All travel procedures will adhere to the Alabama Department of Postsecondary Education rules and regulations. The Chancellor is authorized to prepare rules and regulations governing all travel for Athens State University. These rules and regulations are in keeping with the rules and regulations governing travel by the Alabama Department of Postsecondary Education and in keeping with the general instruction of the State of Alabama Manual of Instruction, Fiscal Procedures of 1963 or revised.

1. **In-State Travel**

The following rules and regulations govern in-state travel. The Business Office can provide information on all set travel allowances.

- a. Per diem allowance for in-state travel is used in lieu of subsistence.
  - (1) No travel allowance shall be paid for a trip of less than six hours duration. For travel which does not require an overnight stay, the traveler shall be paid a meal allowance for a trip of from six to twelve hours duration; and an allowance for more than 12 hours but not overnight.
  - (2) For travel requiring an overnight stay, the traveler shall be paid a per diem allowance for each full day or fraction thereof for the duration of the trip.
- b. Reimbursement at a set rate per mile will be made to employees traveling by private car at state expense. Such travel must exceed ten miles.
- c. Where, for traveler's personal convenience or through the taking of leave, there is interruption of travel or deviation from the direct route, the per diem in lieu of subsistence allowed will not exceed that which would have been incurred on uninterrupted travel by the most economical, usually traveled route.
- d. Under no circumstances will per diem be allowed for an employee at the official station or base.
- e. For employees traveling in private automobiles, current map mileage must be used where mileage is given on the road map. Otherwise, check the odometer readings at the beginning and ending of the trip. If travel involves more than one city, indicate route taken. For example, Montgomery - Tuscaloosa - Birmingham. Record all vicinity mileage as such and if it exceeds twenty miles on any day, indicate major points of travel covered.
- f. Where the payment of cash is necessary for miscellaneous expenditures on expense accounts, receipts where practicable to obtain them will be required as follows:
  - (1) Operating expenses of state-owned automobiles, such as gasoline, oil, etc. Receipts must be itemized less federal tax.
  - (2) Repairs or expenses of state-owned automobiles. Receipts must be itemized.
  - (3) Postage in excess of a set dollar limit.
  - (4) Shipments, freight or express.
  - (5) Stenographic or typewriting services in excess of a set dollar limit.
  - (6) Tolls for tunnels and bridges.
  - (7) Telegrams, cablegrams, facsimiles: copy of message required in lieu of receipt.

- (8) Telephone message, long distance, where the amount involved is in excess of a set dollar limit except that where a pay station is used at an automatic station and is so stated in expense account; a receipt will be required.
  - (9) Miscellaneous emergency expenditures.
  - (10) Railroad and other transportation fares showing tax has been reduced.
  - (11) Registration fees.
- g. Receipts will not be required for meals and lodgings; however, it would be wise to keep lodging receipts in your personal files; or if you desire, they may be attached to your travel claim.
  - h. Tips will not be reimbursed unless unusual in nature and explained.
  - i. Receipts will not be required when the disclosure of the identity of the traveler would be detrimental to the state's interest.
  - j. Storing privately owned vehicles is a reimbursable item of expense when the traveler is on official business for the state. Receipts, when practicable to obtain, are required.

Travel expense statements should be submitted promptly for budgetary reasons. Employees traveling on state-funded programs must properly report and submit statements on or before September 30. Employees traveling on federal-funded programs must properly report and submit statements on or before the end of the particular program's fiscal year.

2. **Out-of-State Travel**

**Out-of-state travel must be approved by the President prior to the date of the travel. Additionally, out-of-state travel must be reported to the Chancellor's office prior to travel being taken.** Travel Forms are available on the campus drive or in the Business Office. Reimbursement for out-of-state travel will be governed by the rules and regulations established by the State Board of Education as follows (information on current travel and meal expense limits can be obtained from the Business Office):

Institutional travel outside the State of Alabama is reimbursed differently than in-state travel. Actual costs for commercial transportation and hotel accommodations are reimbursed in total and receipts should be attached. Lodging costs are reimbursed at the single rate only and reimbursement for internet access is not allowed unless it is established that there is a valid need for internet access as part of carrying out normal business functions. Additionally, rental cars are not ordinarily a valid transportation cost unless it can be established that there is a business purpose for having a rental car and that the cost of the rental car is reasonable and consistent with the cost of other modes of transportation. Both rental car and internet access reimbursement claims should be accompanied by written justification from the appropriate Dean, supervisor and/or Vice-President. Meals are reimbursed in one of two ways. Actual costs for meals may be reimbursed if the total of daily meals exceeds the current set limit; however, the traveler must provide an itemized receipt that indicates what was purchased, date, name, and location of the restaurant, and the number of persons served. Meals are to be necessary and reasonable for the location and individuals will not be reimbursed for alcoholic beverages. The traveler may submit meal expenses of up to the current set limit per day without receipts using the current per meal daily per diem rate. If meals are provided to the employee, the current per diem allowance is reduced by a

set amount for each meal provided. Breakfast will only be allowed if travel begins at 6:00 a.m. or before, and a dinner meal will be allowed only if the traveler returns to base after 6:00 p.m. Travelers must determine which method of reimbursement for meals that they are going to use, actual or per diem. Using both per diem and actual on the same travel form is not allowed. The current standard mileage rate applies to any travel from base to your out-of-state destination or to an airport. Receipts are required on out-of-state travel for the following:

- Motel/hotel lodging
- Registration fees
- Meals that exceed the current set limit per day
- Operating expenses, such as gasoline or emergency repairs
- Copy services, etc.
- Parking fees, Taxi fees and miscellaneous expenses

The State of Alabama Department of Finance Fiscal Policy and Procedures Manual states that out-of-state travel can be authorized by the President of the institution. All out-of-state travel must be reported to the Chancellor prior to the actual travel. Upon receiving approval from the President for out-of-state travel, a copy of the approval form should be retained by the traveler and submitted with their travel reimbursement form upon completion of the travel. The original approved copy should be forwarded to the Executive Assistant to the Vice President of Financial Affairs who will submit a form to the Department of Postsecondary Education for the Chancellor to approve prior to the actual travel taking place. Upon completion of the travel, reimbursement requests should be completed and the proper approvals should be obtained in order to get reimbursed. Please remember to attach a copy of your out-of-state approval to your reimbursement packet to ensure prompt reimbursement. The following summarizes the required steps necessary for out-of-state travel:

- Step 1 – Obtain approval for out-of-state travel by the President
- Step 2 – Forward original copy of approved out-of-state travel form to the Executive Assistant to the VP of Financial Affairs
- Step 3 – Attach copy of approval form to claim for reimbursement

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## **PART FOUR**

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### **BENEFITS**

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#### **4.1 INSURANCE BENEFITS**

- A. Hospitalization - Medical Insurance**
- B. Life Insurance**
- C. Disability Insurance Not Available**
- D. Professional Liability Insurance Not Available**
- E. Theft Insurance**
- F. State Unemployment Insurance**
- G. Vehicle Liability Insurance**
- H. Payment for Absences due to Work-Related Injuries**

#### **4.2 LEAVE BENEFITS**

- A. General Absence Policy**
- B. Sick and/or Annual Leave**
- C. Maternity Leave**
- D. Transfer of Sick Leave**
- E. Military Leave**
- F. Personal Leave**
- G. Leave Without Pay**
- H. Sick Leave Bank**
- I. Court Attendance**
- J. Professional Leave**
- K. Family and Medical Leave Act**
- L. Professional Leave**
- M. Compensation Time Policy**

#### **4.3 OTHER BENEFITS**

- A. Retirement System**
- B. Tax Sheltered Annuities**
- C. Facility Benefits**
- D. Tuition Waiver**

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## 4.1 INSURANCE BENEFITS

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(Note: In the following sections, “SBP” stands for State Board Policy. Current State Board Policies and Policy Guidelines can be found under the State Board of Education link at the Alabama Community College System website, [www.accs.cc](http://www.accs.cc).)

**A. Hospitalization-Medical Insurance**

Hospitalization and medical insurance is available for all eligible employees (20 hours per week or more) not to exceed coverage amounts specified by the State Board of Education. The State allocation for each eligible employee is a set dollar value per month. To be eligible for a full allocation, a teacher must be full-time and a support worker must be employed at least twenty (20) hours per week (excluding bus drivers who are full-time by law). Part-time employees will be entitled to a prorata allocation, the details of which can be obtained from the Business Office.

This coverage may be transferred to any elementary, secondary, or other institution under the control of the State Board of Education or other state two-year college, provided the request is made in writing. Funds may not be transferred to any other agency if one spouse is covered by the State Public Education Employee Health Insurance Program and the other is covered by an independent insurance company. Dependent coverage is also allowed by the State Board of Education.

Optional coverages are available and are provided by state allocated funds. Each eligible employee may select one or more optional coverage(s) provided by the Public Education Employee’s Health Insurance Board. The following four optional plans are available: Hospital Indemnity, Cancer, Dental, and Vision. If the state allocation is not being used for health insurance, the four optional coverages may be obtained at no cost to the employee.

Supplemental coverage is available through the PEEHIP program. If the state allocation is not being used for health insurance coverage or for the optional coverages, it may be used to fund the supplemental coverage.

**B. Life Insurance**

All faculty who participate in the State Teachers’ Retirement System have a retirement death benefit equal to one year’s salary, contributions and interest in their retirement account, as well as a death benefit through that affiliation. The Business Office has information on the details of this coverage. Information booklets on the Teacher Retirement System are available online at [www.rsa-al.gov](http://www.rsa-al.gov).

**C. Disability Insurance Not Available**

Because Athens State University is a state agency, workman’s compensation is not directly available. Several professional organizations may also provide disability insurance. The Business Office has more information on these options.

**D. Professional Liability Insurance Not Available**

Professional Liability insurance is not currently available through state funds. However, many professional associations do provide this kind of coverage.

**E. Theft Insurance**

The Alabama State Insurance Fund includes a policy for burglary insurance for the property of state two-year colleges. This policy provides coverage for property of Athens State University excluding automobiles, buses, and other type of vehicles. The policy provides a set deductible clause, the details of which can be obtained from the Business Office.

**F. State Unemployment Insurance**

Athens State University belongs to the State Unemployment Insurance Compensation Program. The Alabama State Employment Office has more information concerning this program.

**G. Vehicle Liability Insurance**

Athens State University will purchase liability protection with provisions that cover not only the named insured but also the agents, employees, and others using the motor vehicle with the permission of the named insured. The policy shall provide for payment of premiums by insurer on bonds to release attachments and on appeal bonds where necessary. Provisions are made for direct suit against the insurance company for damages sustained. The premiums for said insurance are to be paid by Athens State University in one payment as authorized by the State Board of Education. The insurance will provide set coverage limits on vehicles owned by the University for: bodily injury to each person, bodily injury for each occurrence, property damage, medical payments to each person, and uninsured motorist coverage. The Business Office can provide information on coverage limits.

**H. Payment For Absences Due to Work-Related Injuries**

The salary of an employee may be continued during absences if satisfactory evidence is presented which demonstrates that the absence is due to or arising from a job-related injury. Salary continuation for an employee for absences due to a job-related injury may be made only for temporary disabilities where there is a reasonable expectation of the employee's returning to work; salary continuation shall in no event exceed **90** working days. (SBP: 610.02)

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## 4.2 LEAVE BENEFITS

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**A. General Absence Policy**

An employee who is absent from work for any reason is expected to report his or her absence to his or her administrator or College Dean as soon as possible.

**B. Sick And/Or Annual Leave**

All full-time administrative, faculty, and support personnel will earn one day of sick leave per month of employment and may accumulate a set maximum of sick leave days. Faculty do not accumulate annual leave. Information concerning the maximum limit of sick leave and conversion of accumulated sick leave to creditable months of service for Teachers' Retirements system members is available in the Business Office. (SBP: 610.01)

**C. Maternity Leave**

A full-time employee of the University will be granted up to a maximum of one year of maternity leave without pay. Persons on maternity leave without pay resulting from pregnancy may use earned sick leave upon request. A person who resigns instead of taking maternity leave cannot use accumulated sick leave. Persons taking maternity leave to stay home with adopted children will not be paid for earned sick leave. Leave earnings will continue for the period covered by maternity leave payments. The tenure status of persons on maternity leave will not be affected.

The one year maximum designation in the State Board of Education policy on maternity leave is intended to apply exclusively to unpaid maternity leave. Therefore, any paid leave taken by an employee for maternity purposes will not reduce the maximum amount of one year of unpaid maternity leave which the employee may also take.

A full-time University employee is entitled to "step" increases based on the number of years of full-time service which the respective employee completes. These step increases must be approved by the State Board of Education. In order for an employee to earn a year of service for step placement purposes, the employee must complete at least nine months (or the equivalent thereof) of full-time employment during a given academic year (September 1 - August 31). All paid workdays and paid leave days should count toward the required nine-month minimum. However, time spent on **unpaid** maternity leave **should not be counted** in computing the amount of time worked during a given academic year. (SBP: 611.01)

**D. Transfer of Sick Leave**

Employees of an Alabama institution may transfer earned sick leave from that institution to Athens State University when their employment status changes. Appropriate request forms and a statement of procedures are available in the Business Office. (SBP: 610.01)

**E. Military Leave**

All employees of Athens State University who are active members of a reserve component of the United States are entitled military leave of absence pursuant to the terms of the Code of Alabama (1975) on days that they shall be engaged in field or coastal defense or other training or on other services ordered under the provisions of this charter, or of the National Defense Act, or of the federal laws governing the United States Reserve, without loss of pay, time, efficiency rating, annual vacation, or sick leave. Maximum military leave granted with pay in any calendar year shall be twenty-one (21) working days. (SBP: 610.01)

**F. Personal Leave**

Full-time faculty employees are authorized five personal leave days during a state fiscal year. Personal leave days should be requested prior to their occurrence, but do not require justification. Personal leave days are not cumulative. Unused personal leave will be converted to sick leave at the end of the year. (SBP: 610.01)

**G. Leave Without Pay**

Employees of the University may need to take leave other than those described herein. Upon approval of their immediate supervisor, the President, and the Chancellor, leave time without pay may be granted. A sum equivalent to one day's computed salary will be deducted from the employee's monthly salary for each day of leave without pay. (SBP: 611.01)

**H. Sick Leave Bank**

The State Board of Education has authorized the formation of a sick leave bank for full-time employees. The purpose of the bank is to provide a loan of days for its participating members after their accumulated sick, annual (staff only), and personal leave days have been exhausted. (SBP: 610.01).

A comprehensive description of details of the Sick Leave Bank is available in the Office of Human Resources.

**I. Court Attendance**

Full-time employees who are required to attend court in the capacity of jurors or witnesses under subpoena will be granted special leave with pay to attend such court. (SBP: 610.01)

**J. Professional Development Leave**

According to State Board Policy 612.01, full-time personnel shall be granted professional and/or vocational leave with pay for up to ten (10) days per year provided, in the opinion of the President, that the professional and/or vocational development activity will significantly enhance the employee's direct contributions to the institution and that it is consistent with the goals of the employee's professional and/or vocational development plan. The full-time employee must have a written statement accompanying each request and must provide a written report to the President upon completion of the activity. (SBP: 612.01)

**K. Family and Medical Leave Act  
Purpose:**

*The Family and Medical Leave Act (FMLA) of 1993 was passed by Congress to balance demands of the work place with needs of families, promote stability and economic security of families, and promote national interests in preserving family integrity; minimize the potential for employment discrimination on the basis of gender by ensuring generally that leave is available for eligible medical reasons (including maternity-related disability) and for compelling family reasons; and promote the goal of equal employment opportunity for women and men.*

FMLA requires covered employers to provide up to twelve (12) weeks of unpaid, job-protected leave per year to eligible employees due to the birth or adoption of a child, the employee's own serious health condition, or because the employee is needed to care for a parent, child, or spouse with a serious health condition. Health benefits must be maintained during the leave at the same level of employer and employee contribution as prior to the leave.

Details of eligibility, definitions, leave entitlement, and other information is available in the Office of Human Resources. (State Board Policy 611.01).

**L. Professional Leave**

Professional leave with pay may be granted to any full-time employee when federal or other noninstitutional funds are available for such purposes. A person granted a leave with pay must return to the institution for a minimum period of two (2) years or repay the monies received while on leave. The tenure status of persons on professional leave will not be affected. Professional leave will be granted only on written request from the President and approval by the Chancellor. (SBP: 610.01)

**M. Compensation Time Policy – Nonexempt Employees**

Nonexempt employees (Salary Schedules E & H) may occasionally have a need to work beyond the normal work hours. All such instances must be pre-approved by the Supervisor (Department Head/Dean/Vice President, etc.).

Any approved compensation time worked will accrue at the rate of one and one-half (1 ½) times the rate of actual extra time worked for the workweek.

All pre-approved compensation time earned shall be used within 30 days from the date earned. Exceptions must be approved by the President.

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## 4.3 OTHER BENEFITS

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### A. **Retirement System**

All employees (20 hours or more per week) are members of the Teachers' Retirement System of Alabama. Payroll deductions for retirement will be made according to percentage required by law. It is mandatory that eligible employees participate in the program with a percentage of the monthly gross salary being deducted and deposited into the State Retirement fund. Employees severing relations with the University prior to retirement should contact the Office of Human Resources concerning the individual's equity in the State Retirement Fund. Additional information and specific details are also available from Human Resources personnel. (SBP: 606.06)

### B. **Tax Sheltered Annuities**

Companies with whom personnel employed by Athens State University own tax-sheltered annuities are to be approved upon the request of the employee. Personnel who have tax-sheltered annuities may upon request, transfer their annuities from one institution to another. All insurance companies domiciled in the State of Alabama and all companies represented in the State of Alabama may be approved by the President with the approval of the Chancellor. There must be at least ten individuals contracted with an individual company in order to initiate a payroll deduction plan.

### C. **Facility Benefits**

1. Athens State University personnel may join the North Alabama Educators Credit Union.
2. Faculty and staff members along with members of their households have borrowing privileges at the University library.

### D. **Tuition Waiver**

#### 1. **General**

The tuition waiver program is designed for all full-time employees (and employees who work 35+ hours per week) of The Alabama Community College System and their dependents as defined under subsection 2 below.

An application form for the tuition assistance program is available in the Office of Human Resources and should be completed prior to registration for classes. A copy of the completed form must be maintained by the Business Office.

#### 2. **Definitions**

Employee: Any full-time employee of Athens State University. This program will not include temporary or part-time employees, or persons serving as independent contractors to any of the public two-year colleges or to the DPE. By the terms of this program, employees of the DPE are eligible to participate in the Employee Tuition Waiver Program.

Dependent: The spouse of any full-time employee and unmarried, natural or adopted children, or step children of any full-time employee, residing in the employee's household.

Additional information regarding Definitions, Eligibility, Limitations, Conditions, and Auditing is available in the Office of Human Resources. (SBP: 612.02)

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## **PART FIVE**

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### **POLICIES**

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- 5.1 FEDERAL AND STATE POLICIES/PROCEDURES**
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  - B. Title IX Policy**
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- 5.4 PROMOTION**
  - A. Faculty**
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## 5.1 FEDERAL AND STATE POLICIES/PROCEDURES

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### A. Equal Opportunity Employment

Athens State University is an equal opportunity employer. It is the official policy of the Alabama Department of Postsecondary Education, including postsecondary institutions under the control of the State Board of Education, that no person shall, on the grounds of race, color, national origin, religion, age, disability, marital status, or gender, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program, activity, or employment.

### B. Title IX Policy

Athens State University has adopted the following statement relative to Title IX:

It is the policy of Athens State University to be in compliance with Title IX of the Education Amendments of 1972 which provides that no person shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity.

An institutional Title IX Coordinator will be appointed by the President of Athens State University.

### C. Title IX Grievance Procedure

The procedure set forth below is intended to program or function sections within each service division of the State Department of Education as well as institutions and service agencies under control of the State Board of Education. For this procedure to apply to colleges and technical institutions, the President or director must be thought of as the Section Coordinator and the Chancellor shall act in the stead of the State Superintendent of Education.

Steps to be Followed in Processing Title IX Grievance Procedures for State Department of Education:

- Step 1 - The original and two copies of Grievance Form A must be filed with complainant's Section Coordinator within 30 calendar days following date of alleged violation(s) of the Title IX Regulation. The alleged violation(s) must be clearly and specifically stated (complainant is advised to keep a copy of all forms used in Steps 1-8 for his or her files).
- Step 2 - Complainant's Section Coordinator will immediately notify the School Dean and the Title IX Coordinator of receipt of the Grievance Form A. The Section Coordinator will have 30 calendar days following date of receipt of Grievance Form A to investigate and study complainant's allegations, hold a formal hearing, and make a written report of findings to complainant. Form A must be used for the report. Copies of Form A must be provided to the Title IX Coordinator and the School Dean. Complainant's copy must be mailed to his home address by certified mail, return receipt requested.
- Step 3 - Complainant must, within 15 calendar days following receipt of Section Coordinator's report, file with the Section Coordinator and Title IX Coordinator a written notice of acceptance or appeal of the report. If a notice of appeal is filed, appeal Form B must be used. Complainant must state clearly and specifically on Form B the objectives to the findings and/or decisions of the Section Coordinator. Copies of Form B must be provided the Title IX Coordinator and the appropriate Division Director. If the complainant fails to

file notice of appeal by 5:00 p.m. on the 15th calendar day following receipt of Section Coordinator's report, the right to further appeal will be forfeited.

Step 4 - The School Director will have 30 calendar days following date of receipt of complainant's notice of appeal to investigate and study complainant's allegation, the report of the Section Coordinator, and make a written report of findings to complainant. Form B must be used for the report. Copies of Form B must be provided the Title IX Coordinator and the Chancellor. A copy must be mailed to the complainant's home address by certified mail, return receipt requested.

Step 5 - Complainant must, within 14 calendar days following receipt of Chair Director's report, file with the Chair Director and Title IX Coordinator, a written notice of acceptance or appeal of the report. If a notice of appeal is filed, appeal Form C must be used. Complainant must state clearly and specifically on Form C the objections to the findings and/or decisions of the Chair Director. Copies of Form C must be provided the Title IX Coordinator and the Chancellor. If complainant fails to file notice of appeal by 5:00 p.m. on the 15th calendar day following receipt of Chair Director's report, the right to further appeal will be forfeited.

Step 6 - The Chancellor will have 30 calendar days following the date of receipt of complainant's notice of appeal to investigate and study complainant's allegations and the report of the Chair Director and make a written report of the findings to complainant. Form C must be used for the report. Copies of Form C must be provided to the Title IX Coordinator and Chancellor. A copy must be mailed to the complainant's home address by certified mail, return receipt requested.

Step 7 - Complainant must, within 15 calendar days following receipt of report, file with the Chancellor and Title IX Coordinator a written notice of acceptance or appeal of the report. If a notice of appeal is filed, appeal Form D must be used. Complainant must state clearly and specifically on Form D the objections to the findings and/or decisions of the Chancellor. Copies of Form D must be provided the Title IX Coordinator and the Chancellor. If complainant fails to file notice of appeal by 5:00 p.m. on the 15th calendar day following receipt of the Chancellor's report, the right to further appeal will be forfeited.

Step 8 - The Chancellor will have 30 calendar days following date of receipt of complainant's notice of appeal to investigate and study complainant's allegations and report of the Chancellor, hold a formal hearing, and make written report of findings to complainant. Form D must be used for the report. Copies of Form D must be provided the Title IX Coordinator. A copy must be mailed to the complainant's home address by certified mail, return receipt requested.

Note: Complainant has the right to further appeal to the proper court; to the Office for Civil Rights of the United States Department of Health, Education, and Welfare; or the State Personnel Board in appropriate cases. All parties shall have the right to legal counsel and to produce witnesses in their own behalf. If the last day for filing notice of appeal falls on either Saturday, Sunday, or a legal holiday, a complainant will have until 5:00 p.m. the first working day following the 15th calendar day period to file.

**D. Sexual Harassment Policy (State Board Policy 601.04, effective 10-25-07)**

1. The State Board of Education is committed to providing both employment and educational environments free of harassment or discrimination related to an individual's race, color, gender, religion, national origin, age, disability, or any other protected class. Such harassment is a violation of State Board of Education policy. Any practice or behavior that constitutes harassment or discrimination shall not be tolerated on any campus or site, or in any division, or department by any employee, student, agent, or nonemployee on any institution's property and while engaged in any institutionally sponsored activities.

It is within this commitment of providing a harassment-free environment and in keeping with the efforts to establish an employment and educational environment in which the dignity and worth of members of the community are respected, that harassment of students and employees is unacceptable conduct and shall not be tolerated at any of the institutions that comprise The Alabama Community College System.

A nondiscriminatory environment is essential to the mission of The Alabama Community College System. An abusive environment inhibits, if not prevents, the harassed individual from performing responsibilities as student or employee and creates a hostile work environment. It is essential that institutions maintain an environment that affords equal protection against discrimination, including sexual harassment. The institutions of The Alabama Community College System shall take all the necessary steps to ensure that harassment, in any form, does not occur. Employees and students who are found in violation of this policy shall be disciplined as deemed appropriate by the investigating authority as to the severity of the offense with final approval from the President.

Employees and students of The Alabama Community College System shall strive to promote an environment that fosters personal integrity where the worth and dignity of each human being is realized, where democratic principles are promoted, and where efforts are made to assist colleagues and students to realize their full potential as worthy and effective members of society. Administrators, professional staff, faculty, and support staff shall adhere to the highest ethical standards to ensure professionally functioning institutions and to guarantee equal educational opportunities for all students.

For these purposes, the term "harassment" includes, but is not necessarily limited to:

Slurs, jokes, or other verbal, graphic, or physical conduct relating to an individual's race, color, gender, religion, national origin, age, disability, or any other protected class. Harassment also includes unwelcome sexual advances, request for sexual favors, and other verbal, graphic, or physical contact if perceived as such by the recipient.

Any contact solicited during non-traditional business hours may be perceived as harassment by recipient unless it is specifically associated with work related duties.

2. Harassment of employees or students by nonemployees is a violation of this policy. Any employee or student who becomes aware of any such harassment shall report the incident(s) to the appropriate institution official. Failure to act, which includes initial investigation, shall be deemed in direct violation of this policy.
3. Sexual harassment is a form of sex discrimination which is illegal under Title VII of the Civil Rights Act of 1964 for employees and under Title IX of the Education Amendments of 1972 for students. Sexual harassment does not refer to occasional compliments; it refers to behavior of a sexual nature which interferes with the work or education of its victims and their co-workers or fellow students. Sexual harassment may involve the behavior of a person of either sex against a person of the opposite sex or the same sex, and occurs when such behavior constitutes unwelcome sexual advances,

unwelcome requests for sexual favors, or other unwelcome verbal or physical conduct of a sexual nature, when perceived by the recipient that:

- a. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or educational opportunities;
- b. Submission to or rejection of such conduct is used as the basis for employment or academic decisions affecting that individual;
- c. Such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance, or creates an intimidating, hostile, or offensive work or educational environment.

Any incident of harassment shall be reported to the grievance officer as promptly as possible after the harassment occurs.

4. The employees of the institutions within The Alabama Community College System determine the ethical and moral tone for these institutions through both their personal conduct and their job performance. Therefore, each employee must be dedicated to the ideals of honor and integrity in all public and personal relationships. Relationships between institution personnel of different ranks, including that of instructors and students, which involve partiality, preferential treatment, or the improper use of position shall be avoided. Further, such relationships may have the effect of undermining the atmosphere of trust on which the educational process depends. Implicit in the idea of professionalism is the recognition by those in positions of authority that in their relationships with students or employees there is always an element of power. It is incumbent on those with authority not to abuse the power with which they are entrusted.

All personnel shall be aware that any romantic relationship (consensual or otherwise) or any otherwise inappropriate involvement with another employee or student makes them liable for formal action against them if a complaint is initiated by the aggrieved party in the relationship. Even when both parties have consented to the development of such a relationship, it is the supervisor in a supervisor-employee relationship, the faculty member in a faculty-student relationship, or the employee in an employee-student relationship who shall be held accountable for unprofessional behavior.

5. This policy encourages faculty, students, and employees who believe that they have been the victims of harassment to contact the grievance officer or other appropriate official at the institution where the alleged incident occurred. Any reprisals shall be reported immediately to the grievance officer or other appropriate official.
6. This policy shall be distributed, communicated and implemented in a manner which provides all interested parties the opportunity to be informed of this policy. A system-wide educational program shall be utilized to assist all members of the college community to understand, prevent and combat harassment.
7. A harassment educational program may consist of seminars, workshops, videos, and/or printed materials. The educational elements of this policy seek to achieve the following goals through dissemination of this policy and providing a training program by: (1) ensuring that all administrators, faculty, students, and all employees are made aware of their rights concerning sexual harassment; (2) notifying individuals of conduct that is prohibited; (3) informing administrators and supervisors about the proper procedures in addressing complaints. This program must be administered annually and approved by Department of Postsecondary Education.

8. The Chancellor will issue guidelines to ensure the adherence to, implementation of, and enforcement of this policy.

E. **Hearing Procedures for Postsecondary Employees - Probationary and Non-Probationary Employees (State Board Policy 619.01, issued 12-8-94)**

1. **Definitions**

- a. **Institution:** A community, junior, or technical college or other postsecondary education institution under the control of the Alabama State Board of Education.
- b. **Employees:** All persons employed on a full-time basis by the president of an institution and whose salary is derived from salary schedule **D** or **E** as established and adopted by the Alabama State Board of Education. The term “employees” also includes persons employed by the president of an institution on a full-time basis who are adult bus drivers and further includes other full-time employees whose duties require twenty (20) or more hours in each normal working week of the school term, institution holidays excepted. Substitute teachers and substitute workers are excluded from the term “employees.”
- c. **President:** President shall mean the administrative head of an institution, irrespective of the title actually held.
- d. **Service:** Service of any notice required hereunder shall be deemed completed on the date of receipt.
- e. **Time:** In computing any period of time prescribed under these regulations, the day of the act or event from which the designated period of time begins to run shall not be included. The last day of the period computed shall be included, unless it is a Saturday, Sunday, legal holiday (recognized by the institution) or institutional holiday, in which event the period shall run until the end of the next day which is not a Saturday, Sunday, legal holiday, or institutional holiday.

2. **Voluntary Relinquishment of Tenure**

- a. **Resignation:** Upon resignation from his or her position at an institution, an employee loses tenure. A resignation shall be deemed effective as in subsection 2.(b), below, or when accepted in writing by the president of the institution.
- b. **Failure to Report for Duty:** An employee who without good cause fails to report for duty at the employing institution at the beginning of a quarter or semester shall be deemed to have resigned.

3. **Probationary Period**

- a. All employees as defined in subsection 1. (b) of these regulations shall be deemed employed on a probationary status for a period of three years from the date of his or her initial employment.
- b. During said probationary period, the employing authority shall cause the employee’s performance to be evaluated.
- c. With respect to any full-time employee on salary schedule E, at any time during such employee’s probationary period, the employing authority may remove an employee by furnishing said employee written notification at least fifteen (15) days prior to the effective day of termination.
- d. If a probationary employee paid under salary schedule D is terminated within the period of a contract the employee is entitled to be given cause and the opportunity for a hearing under these hearing procedures adopted by the Board.

Employment agreements shall be offered for either 3, 9, or 12 months. If 15 days prior to the end of the contract period the person is not notified in writing that their services will no longer be required, he/she shall be offered another employment agreement for the same length as the prior contract unless otherwise agreed to by the president and the employee.

**4. Non-Probationary Status**

Upon the completion by the employee of said probationary period, said employee shall be deemed employed on a non-probationary status and said employee's employment shall thereafter not be terminated except for failure to perform his or her duties in a satisfactory manner. Incompetency, neglect of duty, insubordination, immorality, justifiable decrease in jobs in the institution, or other good and just causes; provided, however, such termination of employment shall not be made for political or personal reasons on the part of the President of the institution.

**5. Termination of Employment**

a. Employment of an employee on permanent status must be terminated only in the manner specified in subsection 5. (b) below.

b. The President shall give notice in writing to the employee, said notice to contain:

- (1) A statement in detail of the reasons for the proposed termination;
- (2) A statement of the facts upon which such reasons are based;
- (3) A statement giving notice of the employee's rights to a hearing as set out herein;
- (4) The effective date of the termination;
- (5) A statement setting forth the names of the persons who potentially will testify against the employee and the nature of their testimony;
- (6) If in cases involving moral turpitude an employee is to be suspended without pay pending a final hearing, the notice shall contain a statement that the employee is further entitled to respond to the notice of termination no later than the end of the third working day after receipt of the notice of termination. A written or oral response or both may be made to the President or his designee.
- (7) A statement as to when the employee's compensation shall cease. In no event shall the employee's compensation cease before the time for making the response described in subsection 5. (b) (6) above has passed.

c. If in cases of moral turpitude an employee is to be suspended without pay pending a final hearing, then prior to making a final decision concerning the cessation of an employee's compensation, the President or his designee shall consider any timely written response as described in 5. (b) (6), and, upon request, shall hear and consider any timely oral response as described in subsection 5. (b) (6). No later than one (1) working day after the employee responds either in writing or orally to the President or his designee, the President shall notify the employee of his decision concerning the response. If the President makes a determination adverse to the employee, the President shall also notify the employee of the date when his compensation shall cease.

**6. Notice of Termination: Right to Hearing**

Notice to the employee shall be served either by personal service or by United States registered or certified mail with postage prepaid thereon, to said employee's last known address. The employing President may suspend said employee with pay until the charges are heard and determined. This section, however, does not mandate pay in cases

involving moral turpitude. If such charges are found to be unfounded, pay would be reinstated. Such notice shall also inform the employee that in order to contest said termination, the employee must file with the employing President and the Chancellor within fifteen (15) days after receipt of such notice, a notice of an intention to contest the termination of said contract. If the employee does not file notice of intent to contest within fifteen (15) days after receipt of the notice of intention to terminate said contract, then the employing president may dismiss the employee, and such dismissal shall be final.

**7. Appellate Process to Contest Termination**

Upon receipt of a notice contesting termination, the employing President and the employee may (1) mutually agree upon a person to hear the employee's appeal or (2) select a panel of three persons, one selected by the employing President, and another selected by the employee and a third agreed upon by the two parties listed herein above which shall constitute an employee review panel to hear the employee's appeal. If there is no agreement on the selection of a third member within ten (10) days following the selection of the second member, the Probate Judge of the county in which the dispute originated shall submit the names of three individuals who are qualified through their experience and training to render a fair and impartial decision as the third member of the employee review panel and said persons selected for membership on the employee review panel shall not be currently employed in the field of education. From these three names, the employing President shall then strike the first name and the employee shall strike the second name with the person whose name remains becoming the third member of the employee review panel.

**8. Hearing Process**

Upon the employee review panel's selection to hear a case, the panel shall within ten (10) days establish a date, place, and time for the hearing to be conducted. The date of such hearing shall in no case be later than sixty (60) days following the decision of the employing president. Upon the completion of a de novo hearing, the panel's decision must be rendered within forty-five (45) days. The parties shall have the right of counsel or representation of their choosing. In making its decision the panel shall consider whether the action of the President or administrative staff was arbitrary or unjust or for political or personal reasons on the part of the President or his staff, and whether the President's action was warranted based upon the facts of the case and the employment record of the employee. The decision of the panel shall be final and binding upon the parties. Expenses and fees of the employee review panel shall be shared equally by the institution and employee.

**9. Transfer**

The employing President shall have authority to transfer employees from one position at the institution to another, however, such transfer shall be based upon good and just cause, needs of the institution, and shall not be for political or personal reasons on the part of the President and shall be without loss of status for the employee. Appeals of a decision to transfer shall be handled in the same manner as for termination and the decision of the employee review panel shall be final and binding on the parties.

10. **Discipline**

The employing president shall have authority to reprimand, censure, or suspend with or without pay, an employee for just cause. Such action on the part of the employing president or staff shall not be for political or personal reasons on the part of the President. The employee shall have the right to contest the President's action by appealing through the same manner as for termination and the decision of the employee review panel shall be final and binding on the parties.

11. **Incorporation**

a. These regulations or applicable portions thereof shall be deemed as a part of the terms and conditions of appointment or employment of any employee.

b. Any employee who accepts appointment or employment at any institution shall, by acceptance thereof, be deemed to have agreed to be employed under and abide by these regulations or as they may hereafter be modified or amended.

12. **Severability**

The provisions of these regulations are severable. If any subsection, paragraph, sentence, clause, provision, or portion of these regulations is held unconstitutional or invalid, by any court of competent jurisdiction, such holding shall not affect any other subsection, paragraph, sentence, clause, provision, or portion of these regulations which is not in and of itself unconstitutional or invalid.

13. **Repealer Clause**

Any and all other regulations or policies adopted by the Alabama State Board of Education which are in conflict with these regulations are hereby repealed.

14. **Effective Date**

These regulations shall take effect September 1, 1984.

F. **Athens State University Grievance Procedure**

The following is a description of the process by which a University employee or student who has a valid complaint or grievance may pursue the resolution of the matter of concern. For the purposes of this procedure, a "complaint" shall mean a statement of dissatisfaction of any official activity of or sponsored by the University, or any other matter which is within the scope of the authority of the University's administration or faculty. A "grievance" shall be a complaint which, after reasonable attempts at informal resolution, has not been satisfactorily resolved.

Athens State University promotes the open exchange of ideas among all members of the University community - students, faculty, staff and administration. An environment conducive to the open exchange of ideas is essential for intellectual growth and positive change. However, the University recognizes that, at times, people may have differences which they are unable or unwilling to resolve themselves. The procedure described below shall be available to a University employee or student only after the employee or student has made every reasonable attempt to resolve his or her problem with the appropriate University official or representative. For an employee or student who has made a good faith effort to resolve a problem but who has been unable to resolve the matter informally, the University offers the following grievance procedure as the appropriate course of action for settling disputes and resolving problems. **The names of the University officials with responsibilities relating to grievance resolution can be obtained from the President's Office.**

1. **Initial Steps To Resolve A Complaint**

Any student complaint or concern not otherwise covered under the Student Handbook and/or University Catalog may be addressed under this grievance procedure.

Complaints relating to a disability shall be reported to the University's ADA/504 Coordinator. Other types of complaints shall be reported to the appropriate University official. If the complaint is about a specific occurrence, the complaint must be made within ten (10) school days after the occurrence or after the employee or student became aware of the occurrence.

An employee or student with a complaint shall begin his/her attempt to resolve the situation by bringing it to the attention of the appropriate University official, as stated above. If, after discussion between the employee or student and the respective University official, it is determined that the complaint is valid and can be resolved immediately, the University official will take action to resolve the complaint. If the matter at issue involves an allegation of physical abuse or racial, sexual, or other discrimination or harassment, or the complaint relates to a disability, or if the complaint relates to a matter involving theft or any other act of dishonesty, the respective University official will submit a written report within ten (10) working days of the filing of the complaint to the University Grievance Officer, describing both the complaint and how it was or will be resolved.

**2. Plan Of Resolution**

If the employee's or student's complaint cannot be resolved immediately, but requires instead a "plan of resolution", the University official to whom the complaint was made shall submit a written report to the University Grievance Officer. The report shall be submitted within ten (10) school days of the complaint and shall detail the complaint and the plan to resolve the complaint.

**3. Grievance Process**

If the employee's or student's complaint cannot be resolved in the manner described above, such an unresolved complaint shall be termed a "grievance". An employee or student who submits a complaint to the appropriate University official in the manner described above and who is not informed of a satisfactory resolution, or plan of resolution, of the complaint within ten (10) school days, shall have the right to file with the University Grievance Officer a written statement detailing the grievance. The written grievance statement shall be filed using Grievance Form A, which will be provided by the Grievance Officer, and shall include at least the following information:

- a. Date the original complaint was reported;
- b. Name of the person to whom the original complaint was reported;
- c. Facts of the complaint; and
- d. Action taken, if any by the receiving University official to resolve the complaint.

The grievance statement may also contain other information relevant to the grievance which the Grievant wants to be considered by the Grievance Officer.

If the grievance involves a claim of discrimination based on sex, race, age, national origin, religion, handicap, or disability, the complaining party should state with particularity the nature of the discrimination and a reference to any statute, regulation, or policy which the Grievant believes to have been violated. The Grievant shall file any grievance involving alleged illegal discrimination within forty-five (45) calendar days of the occurrence of the alleged discriminatory act or of the date on which the Grievant became aware that the alleged discriminatory act took place.

The University shall have ten (10) calendar days from the date of the receipt by the University Grievance Officer of the grievance to notify the Grievant as to the time frame of conducting an investigation of the allegation(s), holding a hearing (if requested) on the grievance, and submitting a written report to the Grievant of the findings arising from the hearing. Grievance Form A shall be used to report both the grievance and the hearing findings.

**4. Investigation Procedure**

The Grievance Officer, either personally or with the assistance of such other persons as the President may designate, shall conduct a factual investigation of the grievance allegations and shall research each applicable statute, regulation, and/or policy, if any. The University Grievance Officer shall determine, after completion of the investigation, whether or not there is substantial evidence to support the grievance. The factual findings of the investigation and the conclusions of the Grievance Officer shall be stated in a written report which shall be submitted to the Grievant and to the party or parties against whom the complaint was made (the "Respondent(s)") and shall be made a part of the hearing record, if a hearing is requested by the Grievant. Each of the parties shall have the opportunity to file written objections to any of the factual findings and, if there is a hearing, to make their objections part of the hearing record. Publications or verified photocopies containing relevant statutes, regulations, and policies shall also be prepared by the Grievance Officer for the hearing record. If the Grievance Officer finds that the grievance is supported by substantial evidence, he or she shall also make a recommendation in the report as to how the grievance should be resolved. Upon receipt by the Grievant of the Grievance Officer's report, the Grievant shall have three (3) school days to notify the Grievance Officer whether or not the Grievant demands a hearing on the grievance. The failure by the Grievant to request a hearing by the end of the third school day shall constitute a waiver of the opportunity for a hearing. However, the University Grievance Officer may, nevertheless, at his or her discretion, schedule a hearing on the grievance if it would appear to be in the best interest of the University. In the event that no hearing is to be conducted, the Grievance Officer's report shall be filed with the President, and a copy provided to the Grievant and each Respondent.

**5. Hearing Procedure**

In the event that the University Grievance Officer schedules a hearing, the President shall designate a qualified, unbiased person or committee to conduct the grievance hearing. The choice of either a hearing officer or a hearing committee shall be at the option of the Grievant. The hearing officer and/or committee members will generally be employees of the University. However, the President shall have the discretion to select persons other than University employees to serve as a hearing officer or as a committee member. The hearing officer or committee shall notify the Grievant and each Respondent of the time, place, and subject matter of the hearing at least seventy-two (72) hours prior to the scheduled beginning of the hearing. The hearing shall be conducted in a fair and impartial manner and shall not be open to the public unless both parties agree in writing for the hearing to be public.

At the hearing, the Grievant and Respondent(s) shall be read the grievance statement. After the grievance is read into the record, the Grievant will have the opportunity to present such oral testimony and offer such other supporting evidence as he/she shall deem appropriate to his/her claim. Each Respondent shall then be given the opportunity to present such oral testimony and offer such other evidence as he/she deems appropriate to the Respondent's defense against the charges. In the event that the University, or the administration of the University at large, is the party against whom the grievance is filed, the President shall designate a representative to appear at the hearing on behalf of the University.

Any party to a grievance hearing shall have the right to retain, at the respective party's cost, the assistance of legal counsel or of her personal representative. However, the respective attorney or personal representative, if any, shall act in an advisory role only and shall not be allowed to address the hearing body or question any witness. In the event that the University or its administration at large is the Respondent, the University representative shall not be an attorney or use an attorney unless the Grievant is also assisted by an attorney or other personal representative.

The hearing shall be recorded either by a court reporter or an audio or video tape or by other electronic recording medium. In addition, all items offered into evidence by the parties, whether admitted into evidence or not, shall be marked and preserved as part of the hearing record.

**6. Rules Of Evidence**

The hearing officer or committee shall make the participants aware that the rules relating to the admissibility of evidence for the hearing will be similar to, but less stringent than, those which apply to civil trials in the Circuit Courts of Alabama.

Generally speaking, irrelevant or immaterial evidence and privileged information (such as personal medical information or attorney-client communications) shall be excludable. However, hearsay evidence and unauthenticated documentary evidence may be admitted if the hearing officer or chairperson determines that the evidence offered is of the type and nature commonly relied upon or taken into consideration by reasonably prudent persons in conducting their affairs.

In the event of an objection by any party to any testimony or other evidence offered at the hearing, the hearing officer or committee chairperson shall have the authority to rule on the admissibility of the evidence, and this ruling shall be final and binding on the parties.

**7. Report Of Findings And Conclusions**

Within five (5) working days following the hearing, there shall be a written report given to the University Grievance Officer (with a copy to the President, the Grievant, and each Respondent) of the findings of the hearing officer or the chairperson of the hearing committee, whichever is applicable, and the report shall contain at least the following:

- a. Date and place of the hearing;
- b. The name of the hearing officer or each member of the hearing committee, as applicable;
- c. A list of all witnesses for all parties to the grievance;
- d. Findings of fact relevant to the grievance;
- e. Conclusions of law, regulations, or policy relevant to the grievance and;
- f. Recommendation(s) arising from the grievance and the hearing thereon.

**8. Conciliation of Grievance (Student)**

In the event of a finding by the hearing officer/committee that the grievance was unfounded or was not supported by the evidence presented, the University Grievance Officer shall notify the Grievant of any appeal which may be available to the Grievant.

In the event of a finding that the grievance was supported, in whole or in part, by the evidence presented, the University Grievance Officer shall meet with the Grievant and

the appropriate University representative(s) (which may include the Respondent(s)) and attempt to bring about a reasonable resolution of the grievance.

**9. Available Appeal**

If the grievance does not involve a claim of illegal discrimination or does not pertain to a disability, the findings of the hearing officer/committee shall be final and non-appealable. If the grievance involves a claim of illegal discrimination or pertains to a disability, the Grievant shall have the right to appeal the decision of the hearing officer or committee to the President of Athens State University, provided that:

- a. A notice of appeal is filed, using Grievance Form B, with the University Grievance Officer and the President within fifteen (15) calendar days following the Grievant's receipt of the hearing report.
- b. The notice of appeal contains clear and specific objection(s) to the finding(s), conclusion(s), or recommendation(s) of the hearing officer or committee.

If the appeal is not filed by the close of business on the fifteenth (15th) day following the Grievant's receipt of the report, the Grievant's opportunity to appeal shall have been waived. If the appeal does not contain clear and specific objections to the hearing report, it shall be denied by the President.

**10. President's Review**

If an appeal is accepted by the President, the President shall have thirty (30) calendar days from his/her receipt of the notice of appeal to review and investigate the allegations contained in the grievance, to review the hearing record, to hold an appellate hearing (if deemed appropriate by the President), and to produce a report of the President's findings of fact and conclusions of law. The President shall have the authority to (1) affirm, (2) reverse, or (3) affirm in part and reverse in part the findings, conclusions, and recommendations arising from the University grievance hearing. The President's report shall be served to the Grievant and Respondent(s) by personal service or by certified mail, return receipt requested, at their respective home addresses.

**11. Appeal To The Chancellor**

Except in cases involving a claim alleging a violation of Title IX of the Civil Rights Act of 1964, as amended, the President's findings and conclusions shall not be appealable. However, pursuant to State Board of Education policy, a Grievant who is alleging a claim of illegal discrimination based on a violation of Title IX may file an appeal to the Chancellor of the Alabama Department of Post secondary Education for review of the President's report and the findings arising from the University grievance hearing.

A Grievant who has grounds for appealing the findings of the President to the Chancellor may do so by:

- a. Filing the notice of appeal, using Grievance Form C, to the Chancellor and the President of the University within fifteen (15) calendar days following the Grievant's receipt of the report of the President's findings; and
- b. Specifying in the notice of appeal clear and specific objection(s) to the finding(s), conclusion(s), or recommendation(s) affirmed by the President.

If the appeal is not filed with the Chancellor by the close of business on the fifteenth (15th) day following the Grievant's receipt of the President's report, the Grievant's opportunity to appeal shall have been waived. If the appeal does not contain clear and specific objections to the President's report, it shall be denied by the Chancellor.

**12. Review By The Chancellor**

If an appeal is accepted by the Chancellor, the Chancellor shall have thirty (30) calendar days following his/her receipt of the Grievant's notice of appeal to investigate and review the allegations contained in the grievance, to review the reports of the President and the University hearing officer/committee, to hold an appellate hearing (if he/she deems such appropriate), and to issue a report of his/her findings of fact and conclusions of law. The Chancellor shall have the authority to (1) affirm, (2) reverse, or (3) affirm in part and reverse in part the findings, conclusions, and recommendations of the President and/or the hearing officer/committee. The report of the Chancellor shall be served to the Grievant and respondent (s) by personal service or by certified mail, return receipt requested, to the respective home addresses of the parties. The report of the Chancellor shall not be further appealable within The Alabama Community College System. However, the Grievant shall not be precluded from filing his or her grievance with an appropriate court or administrative agency.

**13. General Rule On Filing Deadlines**

If the last date for filing a document under this procedure falls on a Saturday, Sunday, or legal holiday, the date of the first school day following the respective Saturday, Sunday, or legal holiday, shall be considered the deadline date.

**G. Instructional Policy Regarding Americans With Disabilities Act (ADA)**

Each faculty member should ensure that syllabi for courses have a statement alerting students of the commitment to the ADA/504 policies: "Any student with a disability who will require academic accommodations should inform the instructor as soon as possible, preferably within the first week of the term."

If a student indicates that he /she has a disability for which he/she wishes to receive accommodations or services, the procedures below should be followed:

1. Direct the student to contact the Disability Services Office on campus within one week from the beginning of the term (Disability Services Specialist, Sandridge Student Center). The student is not required to discuss the specifics of his/her disability with the faculty member.
2. After the student has interviewed with the Disability Services Specialist and appropriate documentation is confirmed, the Disability Services Specialist will forward to the faculty member a Letter of Accommodations outlining the effective learning strategies and reasonable accommodations most helpful to the student. Accompanying the Letter of Accommodations will be a Request For Accommodations Receipt Form. The faculty member should complete the Request for Accommodations Receipt Form as indicated below:
  - a. Face-to-Face Classes: The faculty member will meet briefly and confidentially with the student, as early as possible in the term, and review the student's needs in the classroom. Both the faculty member and the student are to sign the completed Request For Accommodations Receipt Form and the form should be returned to the Disability Services Office.
  - b. Distance Learning Classes: The faculty member will send an email to the student acknowledging the receipt of the Letter of Accommodations and the Request For Accommodations Receipt Form from the Disability Services Office indicating the student's request for academic accommodations. In the email, the faculty member should give the student contact information so the accommodations that will be most helpful in the Distance Learning Class can be discussed. (Sample email can be found at

[www.athens.edu/counseling/disability\\_services.php](http://www.athens.edu/counseling/disability_services.php)). The faculty member should send the completed and signed Request For Accommodations Receipt Form and a copy of the email(s) to the Disability Services Office. It is not necessary to have the signature of the student on the form.

The return of the completed Request For Accommodations Receipt Form ensures that the faculty member received the notification and is working to help the student compete on a more equitable basis with his/her peers. Return of this form also shows Athens State University is in compliance with the Americans with Disabilities Act and Section 504.

3. The faculty member should keep the original copy of the Letter of Accommodations indicating specific accommodations for the student, a copy of the Request For Accommodations Receipt Form, a copy of the email(s) (if applicable), and any other student correspondence for at least one year. The faculty member is responsible for helping the student implement the accommodations within the context of the academic environment, whether in the classroom, blended, or distance learning.
4. **Please be aware that all information regarding a student's disability is to be kept confidential.**

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## 5.2 ATHENS STATE UNIVERSITY PERSONNEL POLICIES/REGULATIONS/PROCEDURES

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### A. Drug Abuse Prevention Program

In compliance with the drug-free workplace requirements of Public Law 100-690 for recipients of Federal contracts and grants, the following policy is in effect for Athens State University.

1. The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited by Athens State University on any property owned, leased, or controlled by Athens State University or during any activity conducted, sponsored, or authorized by or on behalf of Athens State University.

A “controlled substance” shall include any substance defined as a controlled substance in Section 102 of the Federal Controlled Substance Act (21 U.S. Code 802) or in the Alabama Uniform Controlled Substance Act (Code of Alabama, Section 20-2-1, et. seq.).

2. Athens State University has and shall maintain a drug-free awareness program to inform employees about:
  - a. the dangers of drug abuse in the workplace;
  - b. the policies of the University to maintain a drug-free workplace;
  - c. any available drug counseling, rehabilitation, and employee assistance program; and
  - d. the penalties that may be imposed upon employees for drug abuse violations.
3. All employees of Athens State University shall comply with the policy stated in Paragraph D.1 above.
4. Any employee who is convicted by any federal or state court of an offense which constitutes a violation of Paragraph 1 above shall notify the president of Athens State University in writing of said conviction within five (5) days after the conviction occurs. Conviction, as defined in P.L. 100-690, shall mean “a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both.”
5. In the event of a report of a conviction pursuant to paragraph 4 above where the employee is working in a project or a program funded through a federal contract or grant, Athens State University shall notify in writing within ten (10) days any federal agency to whom such notification by Athens State University is required under P.L. 100-690.
6. In the event an employee violated Paragraph 1 above or receives a conviction as described in Paragraph 4 above, the respective employee shall be subject to appropriate disciplinary action which may include, but is not limited to, termination of employment. Athens State University shall also reserve the right to require said employee, as a condition of continued employment, to satisfactorily complete a drug treatment or rehabilitation program of reasonable duration and nature.

### B. Sick Leave Bank Policy

The State Board of Education has authorized the formation of a sick leave bank for full-time employees. The basic concept can be ascertained from the following excerpt from the Board’s guidelines to govern such a bank.

“Any full-time employee of the University (or the University President) who has completed a Sick Leave Authorization Form contributing five (5) days to the bank is eligible to borrow up to fifteen (15) days from the bank. Only persons contributing to the Sick Leave Bank will be eligible to

borrow from the bank. An employee must be a member of the Sick Leave Bank at least six months prior to submitting an application to borrow from the Sick Leave Bank.”

If you are interested in participating in the bank, contact the Office of Human Resources.

**C. Hiring Process for Full-Time Positions**

Vacancies in presidential, full-time faculty, and other full-time administrative and supervisory positions, regardless of whether the position is shown on Salary Schedules A, B, C, or D, shall be filled according to the practices and procedures set out in The Alabama Community College System Uniform Guidelines. (SBP: 602.02)

1. To initiate a job search, the department submits a Job Search Request to the appropriate Vice President. After funds are verified by the Vice President of Financial Affairs, the Job Search Request is sent to the President for approval. The Job Search Request is sent to the Department of Postsecondary Education before the search process begins. The Vacancy Notice will be developed from the position job description.
2. The Recruitment and Selection Committee will be appointed by the President. The Committee will include membership that is at least 40% black and that is 50% female.
3. The Vacancy Notice will be posted and distributed by the Office of Human Resources. Job announcements will be posted and advertised in:
  - a. Athens News Courier
  - b. Decatur Daily
  - c. Huntsville Times
  - d. Alabama State Employment Service
  - e. The Department of Postsecondary Education
  - f. All colleges in the Alabama Community College System
  - g. IM Diversity.com
  - h. Athens State University website
  - i. Notices will be mailed to Department of Education applicant pool members
  - j. Bulletin Board on main campus and University Centers
4. All application materials will be received by the Office of Human Resources.
5. The Recruitment and Selection Committee will develop the Qualifications/Verification Form from the job announcement for each position and screen applicants for minimum qualifications.
6. The Committee must interview all qualified applicants. If there are more than ten qualified applicants, the President may participate in screening the applicants to determine at least ten to interview.
7. After the interviews, the Committee will determine the top three finalists and recommend to the President in alphabetical order.
8. The top three finalists will be interviewed by the appropriate administrator and the President.
9. The President will notify the Office of Human Resources regarding the employment decision.
10. Applicants will be notified in writing of the President’s decision.
11. The Department of Postsecondary Education will be notified of the President’s decision, along with information including the Family Disclosure Form and Search Committee makeup.
12. A written justification of employment by the President will be part of the permanent record including the Family Disclosure Form and Search Committee makeup.

**D. Conflict of Interest**

State Board Policy 615.02 specifies:

1. Honesty and professional integrity are expected of all employees. It would be a serious violation of this trust if the interests of any institution under the direction and control of the State Board of Education were to be disregarded in the course of performing professional duties. The use of official position and influence to further personal gain or that of families or associates is unacceptable behavior.

2. All employees have the right to acquire and retain status of a professional, personal, or economic nature. In a community as diverse and complex as the institutions that comprise The Alabama Community College System, there is always the possibility that the pursuit of individual interest may result in a conflict with those of the employing institution. This places an important responsibility on faculty and staff to recognize potential conflicts and prevent them. It is not expected that every employee will have a complete and current knowledge of the laws and regulations that apply to conflict of interest. However, all persons, particularly those with significant exposure to potential conflict of interest situations, should develop a sensitivity to this issue and seek guidance when appropriate.

Additional guidelines to this policy include:

- a. Full-time employees of System institutions may, with the approvals described below, contract to perform independent research, to furnish services as a consultant, or both, provided that such activity: (a) does not interfere with the performance of other responsibilities as a System employee; (b) is limited in time; (c) is compatible with the interests of the individual employing institution; and (d) does not require use of institutional resources or facilities.
- b. Because of the great variation in the nature of employee expertise and outside activities, it is difficult to establish specific rules or time allocations for outside consulting activities. It is the responsibility of the employee, Department or Division chair, Dean, and President to exercise judicious oversight and control of consulting activities so that no institutional or System functions or policies are neglected. Written prior approval to participate in any outside consulting activities shall be obtained from the President through the appropriate Department or Division Chair and Dean. Activities which shall be exempt from the requirement for prior approval include those things which, assuming they do not constitute a conflict of interest or conflict of commitment, are generally recognized as professional responsibilities, are limited in time, and do not involve the use of institutional resources. Examples of such activities might include: (a) participation in uncompensated manuscript review, grant/contract review, or academic program review; (b) uncompensated professional studies or services for non-for-profit entities; and (c) occasional compensated or uncompensated seminars, presentations, or performances for civic groups or at schools, colleges, university, research institutes, or for-profit businesses.
- c. All other external consulting activities which draw upon the knowledge and skill of an employee require prior approval. Such compensated activities usually will include, but are not limited to: (a) one-time or multiple visits to a business for the purposes of offering advice and counsel; (b) carrying out investigations or studies which are not institutional grants or contracts; (c) a series of non-institutional lectures or performances; (d) serving as an expert witness; (e) rendering other specific professional services.

**E. Ethics Policy**

Every employee is required to participate in Ethics Training provided by the Department of Postsecondary Education upon employment. The Ethics Training will provide a basic awareness and understanding of the standards for ethical behavior. It will provide a strong foundation upon which the policies and procedures put into place by the State Board of Education can be implemented and successfully carried out in the workplace. The training is conducted by the Office of Human Resources.

**F. Criminal Background Check**

A criminal background check shall be conducted on all applicants and current employees. Any individual selected for employment will be required to submit a full consent in addition to personal identifying information in order to complete a criminal history background check. Any offer of employment will be contingent upon an acceptable background check. The applicant will be responsible for the cost of the background check.

The President, upon consultation with the Department of Postsecondary Education, will determine the necessity of subsequent criminal background checks for current employees who have a background check on file and who are being promoted or transferred to a new position. Factors to be considered will be remoteness of previous background checks and the duties and responsibilities of the new position. In the event of a finding of a felony or a crime involving moral turpitude, resolution will be in accordance with the *Alabama Fair Dismissal Act* and provisions of State Board Policy 623.01.

**G. Evaluation of Personnel**

All instructors and other employees at Athens State University are evaluated at least annually. Individual written evaluation records shall be maintained for all employees. (SBP: 607.01)

**H. Personnel Record Information**

It is the policy of Athens State University to protect the privacy of its employees. (SBP: 616.01) Personnel files are maintained in the Office of Human Resources (OHR). These files are kept in locked, fireproof cabinets. To further guard the privacy of employees, the following regulations will be followed for payroll files (payroll files are files containing payroll, insurance, retirement, and other information not related to the evaluation of employees):

1. The following persons may view a payroll file:
  - a. President
  - b. Vice President of Financial Affairs
  - c. Payroll Staff or other appointed OHR personnel
  - d. Individual employee
2. No one may remove a payroll file from the OHR.
3. An OHR employee must be present when another employee views his/her payroll file.
4. To receive a copy of any material in his/her payroll file, the employee must present a written request to the OHR.
5. Only OHR employees may copy a payroll file.
6. If an employee adds any information to his/her file, the attending OHR employee must initial the document and notate the time and date received.
7. Furthermore, if an employee adds any information to her/his file, the employee must sign the document.
8. Persons other than those listed in section H.1 who request permission to view a payroll file must first have the President's written approval.

**I. Abandonment of Position**

All absences from work shall be approved in accordance with procedures established. Any employee who is absent from work without approved leave or without appropriate notification to his or her supervisor shall forfeit compensation and shall be subject to disciplinary action. Any employee who is absent from work for three (3) consecutive workdays without approval shall be considered to have abandoned the position and to have resigned from Athens State University. (SBP: 618.01)

**J. Resignations**

1. All instructional personnel shall give written notice of resignation at least 30 calendar days prior to the beginning of a term. Each instructional staff member shall complete all instructional duties and be cleared by the President or designee for any term started, except by mutual written agreement by both parties.
2. All other personnel shall give written notice of resignation at least 30 calendar days prior to the effective date of resignation, except by mutual written agreement of the President or designee and employee. (SBP: 617.01)

**K. Employee Conduct Code**

Honesty and professional integrity are expected of all employees. It would be a serious violation of this trust if the interests of any institution under the direction and control of the State Board of Education were to be disregarded in the course of performing professional duties. The use of official position and influence to further personal gain or that of families or associates is unacceptable behavior. More information concerning Conflict of Interest can be found at SBP 615.01.

**L. Employment of Relatives**

Athens State University complies with State Board Policies 205.3, Employment of Relatives; Policy 205.04, Disclosure of Employment of Relatives; and Policy 205.05, Supervision and Evaluation of Relatives. All applicants for employment must disclose certain relationships to employees in the Alabama Community College System or to any member of the State Board of Education. Upon initial employment, all employees must complete a Family Relationship Disclosure Form. A revised form must be completed within 15 days of a change of circumstances relating to this information. Additionally, a revised form must be completed if an employee changes positions at the University. All applicable relationships will be reported to the Chancellor's office as required, to be reviewed for possible conflicts of interests. (SBP: 205.03, 205.04, 205.05)

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## 5.3 ATHENS STATE UNIVERSITY GENERAL POLICIES/REGULATIONS/PROCEDURES

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### A. Calendars, Duty Days and Holidays

Athens State University develops its own calendar meeting requirements of State Board of Education Policy 201.02, and submits the proposed calendar to the Chancellor for approval.

Athens State University will be open all work days excluding official holidays. Exceptions are made for weekend classes and library operation. Employees shall be allowed the following official holidays on which days the University shall be closed:

New	Year's Day
	Martin Luther King/Robert E. Lee Birthday
	National Memorial Day
	Independence Day
	Labor Day
	Veterans Day
	Thanksgiving Day
	Day after Thanksgiving Day
	Christmas Eve
	Christmas Day

The academic year consists of two regularly scheduled semesters (fall and spring) and a summer semester which consists of a variety of course formats.

### B. Meetings

Faculty/staff meetings are held on a regular basis, usually the last Friday of each month. All personnel are expected to attend.

### C. Scheduled Use of University Facilities

**Non-classrooms:** All activities involving academics, students, public relations and alumni, and off-campus groups or individuals shall be scheduled through the President's office and placed on the University calendar by the President's Executive Assistant. University facilities available include all rooms and areas except classrooms. A facility reservation form (available from the President's office) must be completed for any activity or event where a facility is reserved by external groups or individuals. Specific University facilities are available to all Athens State University employees and their immediate families (living under the same roof) as a courtesy provided adherence to all University policies. More information may be obtained from the President's office. No employee may use state facilities for personal gain.

**Classrooms:** Classroom usage is reserved first and foremost for official university business. Availability for outside usage is limited, however, permitted for educational purposes only on a "first come-first serve" basis. Individuals or organizations wishing to reserve a classroom must contact the Office of Academic Affairs.

### D. Smoking Policy

Smoking within all University buildings is prohibited. This policy is applicable to all lobbies, public areas, classrooms, and offices located on the campus.

### E. Safety and Security Policies

Complete policies may be found in the Athens State University Health and Safety Manual.

Timely reporting of **all** accidents, injuries, and illnesses of significant importance must be reported as soon as possible. **Reporting is mandatory.** Immediate notification provides the

opportunity for an on-the-scene investigation of accidents, insures prompt preventive action, and provides the individuals with assistance in matters of insurance and employee benefits. It is the responsibility of each employee and/or supervisor to report all accident s/illnesses in accordance with the criteria outlined in the Health and Safety Manual.

**F. Computer Technology Acceptable Use Policy**

Individuals are fully responsible for their own actions while using Athens State University's "computer technology" (defined as University computers and computer-related equipment, programs, supplies, and network communications, including Internet access gained through the University's computer network). Users must respect the privacy and rights of others, and the integrity of both the hardware and software being used. Accordingly, users must assume responsibility for making the best possible use of access privileges and for not abusing them.

1. **Limited Access:** The University reserves the right to limit the access of any and all employees to certain software programs or directories. Each user is provided with a certain access level. A user may not access a computer without authorization or exceed authorized access. A user's activity is restricted to access of only those programs or directories in that user's respective access level. Likewise, a user may not obtain access to another level by means of another user's access. Any user who exceeds their respective level, assists another user to gain access to an otherwise inaccessible level, or allows another user to gain access to an otherwise inaccessible level will be held accountable for the violation of this policy. A user may not continue to enter an access level which was previously assigned to the user, but which has since been suspended, revoked, or otherwise continued.

No user may knowingly:

- a. Use either University computer technology or personal technology to "break into" or "hack into" University or other computers and storage devices for the purpose of reading, copying, deleting, modifying or distributing data and/or information of others, or any other purpose.
  - b. Give passwords, access codes or other security level access information to others.
  - c. Share personal electronic mail (e-mail) accounts.
2. **Acceptable Use:** It is acceptable to use University computer technology for purposes relating directly to education, educational research, and administration of the University. Examples of acceptable use are:
    - a. Using the software/hardware only in the condition and settings provided by the University. User may not modify software settings, to add or delete hardware components or modify software features, unless so instructed by appropriate University officials.
    - b. Using the network for the purpose of instructional support. This may include class assignments, research, skill development, and/or the production of materials used in the educational process.
  3. **Unacceptable Use:** It is unacceptable to use University computer technology for any illegal purpose or to interfere with or disrupt other users, services or equipment. Such unacceptable use includes, but is not limited to, the following:
    - a. Engage in activities to damage or disrupt computer, computer system, network, information, data, or a program, by such acts as virus creation and propagation, wasting system resources, or overloading networks with excessive data.
    - b. Engage in activities for the purpose of promoting personal gain and or profit or use of University technology for organizations other than Athens State University.

- c. Engage in any activity which is in violation of the Code of Alabama (1975) §§ 36-25-1 through 36-25-30, as amended, (the "State Ethics Law"), or which, in the opinion of the University administration, maybe contrary to such law.
- d. Use of any computer technology in a manner that violates patent protection or license agreements.
- e. Engage in any activity that violates any and all copyright law. Such activity may include utilizing University technology to copy and/or distribute copyrighted materials of any type that the user does not have a valid and legal right to copy.
- f. Engage in any activity that utilizes University technology to copy any software from any source for which the user does not have a valid and legal license.
- g. Engage in any use that is illegal or results in the commission of any illegal activity. Use University computer technology to support or oppose any candidates or candidates for public office, or for any other political purpose. (Use of State property for political purposes is against Alabama law.)
- h. Engage in any non-educational purpose, such as for entertainment or leisure activities. Game playing is not considered appropriate use unless the use of a particular computer game is assigned by an authorized University official as an educational activity.
- i. Transmit messages of a romantic or sexual nature to any person or persons. Create, display, transmit or make accessible threatening, racist, sexist, offensive, annoying or harassing language and/or material.
- j. Transmitting unsolicited information which contains obscene or indecent material as defined by law.
- k. Knowingly perform an act which will interfere with the normal operation or use of computers, terminals, peripherals, or networks.
- l. Create copies, or take into the user's personal possession copies of institutionally owned software and/or hardware technology such as computers, components, disks, or peripherals.
- m. Using another person's computer account or allowing someone else to use your account (e-mail, secure systems, etc.)
- n. Sharing of personal e-mail accounts.
- o. Masking the identity of an account or machine in any manner misrepresenting your identity in email or other electronic communication.
- p. Creating, modifying, executing or retransmitting any computer program or instructions intended to obscure the true identity of the sender of electronic mail or electronic messages, collectively referred to as "Messages," including, but not limited to, forgery of Messages and/or alteration of system and/or user data used to identify the sender of Messages.
- q. Communicating any information concerning password, identifying code, personal identification number or other confidential information without the permission of its owner.
- r. Attempts to gain unauthorized access to any information facility, whether successful or not. This includes running programs that attempt to calculate or guess passwords, or that are designed and crafted to trick other users into disclosing their passwords, and any attempts to circumvent data protection schemes or uncover security loopholes. It also includes electronic eavesdropping or communication facilities.

**4. Internet Access:** Any employee or student access to the Internet through the University's computer network is limited to the acceptable use as set out below. Likewise, any employee or student who accesses the Internet through the University's computer network for an unacceptable use or causes an unacceptable result will be held accountable for the violation.

- a. The use of the Internet must be in support of education and research and consistent with the educational objectives of Athens State University. Transmission of any material in violation of any federal or state regulation is

prohibited. This includes, but is not limited to: copyrighted material, threatening or obscene material, or material protected by trade secret. Any use of the Internet through the University's computer network for political advertisement or political lobbying is also strictly prohibited.

- b. Users of the Internet through the University's computer network are expected to abide by the rules of network etiquette. Any swearing, vulgarities or other inappropriate language is prohibited. Users are also prohibited from revealing personal addresses or phone numbers of students or colleagues.
- c. Users are hereby warned that e-mail is not guaranteed to be private. People who operate the system do have access to all mail. Messages relating to or in support of illegal activities may be reported to the authorities.
- d. Internet access is conditional upon strict compliance with any additional University rules attached hereto.

5. **Access is a Privilege, Not a Right:** The University reserves the right to deny the privilege of the use of any or all types of computer technology to individuals who violate this Acceptable Use Policy. Users may also be held accountable for violations of Federal and/or Alabama Laws (i.e. Computer-Related Crime, etc.). Violations of this policy may result in the termination or suspension of employment, suspension of computing privileges, disciplinary review, any other forms of employee or student discipline, and/or financial restitution to the University for any damages and costs related to inappropriate or unacceptable use, and/or criminal or civil legal action. Athens State University reserves the right to modify or clarify this policy at any time.

6. **Computer Crimes:** The Alabama Computer Crime Act, codified at Code of Alabama (1975) §§ 13A-8-101 - 13A-8-103, makes it a crime for a person to damage, or without authorization to modify, computer equipment, computer networks, and computer programs and supplies, or without authorization to access, examine, or use computer data and programs, and provides for punishment up to a Class B Felony (imprisonment for 2 to 20 years and/or a fine up to \$10,000.00 or double the damage or loss to the victim). A copy of the Alabama Computer Crime Act is available for the reader's information. Federal law also makes it a crime to, without authorization, access level to computers or computer networks devoted in part to Federal purposes. Any violation of such State or Federal laws respecting computers shall also constitute a violation of the Athens State University Computer Technology Acceptable Use Policy. Furthermore, this policy prohibits various actions (described above) which may or may not constitute a crime.

## G. Communication and Publications Policy

The visual and verbal images of Athens State University presented to off-campus audiences are important to the university's success. A coordinated approach to presenting a consistent and accurate image of the university is considered vital as the university presents itself to its publics, including alumni, donors, legislators, parents, prospective students, taxpayers and others.

This policy is designed to better insure the communications representing the university are of high quality, present Athens State University consistently and accurately, and meet the requirements expected of a public institution.

1. Communications meeting all of the following criteria must have approval from the Printing and Publications Office and:
  - a. Bear the name of Athens State University.
  - b. Are intended for distribution off-campus.
2. Communications falling under this policy include the following:
  - a. Publications including brochures, newsletters, direct mail items, catalogs, letterhead, and envelopes and all items directed toward off-campus audiences.

- b. Print, broadcast and internet advertising.
  - c. Photographs and videos produced to represent the university to a mass audience.
  - d. University Logo/ University Seal . The Athens State University Logo is a registered trademark filed with the Alabama Secretary of State. Use of the Athens State University logo is required on all electronic and printed materials to reinforce the identity and image of the institution. Letterhead, envelope and business cards will include the logo in Blue (PMS 293) and Black or in single colors of Blue or Black. No other color combinations are permitted. The logo should appear on all university publications. It should appear prominently (i.e., on the front cover) unless there is an unusually compelling reason why it would be awkward or graphically inappropriate. Whenever possible, the university logo should appear in Blue and Black on all printed materials. The logo must not be redrawn, modified or reported to form an additional design symbol. The university seal is Blue (PMS 293). The seal is intended for official functions of the University, and is reserved for specific formal and academic use by the University's executive offices.
  - e. Forms for on-campus and off-campus distribution.
  - f. Certain material produced by student organizations.
  - g. Press releases representing the university.
3. Communications not falling under this policy include:
- a. Materials produced primarily for classroom or educational use.
  - b. Materials for scholarly publications and presentations.
  - c. Advertisements for positions.
  - d. Correspondence.

#### **H. Tornado/Emergency Procedures**

The **Emergency Management** sirens will be the primary signal for all severe weather warnings or other emergencies which require shelter on this campus. **All classes are to be DISMISSED AND CANCELED when the siren sounds.** Students will be allowed to use their own discretion as to seeking shelter or leaving campus facilities once class has been dismissed and canceled. Athens State University will not accept the responsibility for the student once the siren has sounded and class has been dismissed.

The Information Desk Clerk or security officer will attempt to alert faculty and staff in the event of a tornado warning or tornado. The Information Desk Clerk or security officer will inform each shelter location when it is safe to exit the shelter.

Complete details of procedures are located in the Athens State University Health and Safety Manual.

#### **I. Crisis Communication Plan**

How Athens State University communicates to its varied audiences is vital during an unforeseen crisis or emergency. It is the responsibility of the Office of University Relations to set a strategy that will allow for the most effective way to communicate with students, faculty/staff and the public when an emergency is declared.

In the event of the emergency, the Office of University Relations must work closely with the University President, administration, campus police and other public safety entities, which may have jurisdiction. It will be critical that the University collect and verify information about the crisis, determine its severity and come to conclusions on how to best address these issues to internal and external audiences.

Events that pose immediate threat to life and property on campus typically call for urgent communication. It is expected that under these circumstances internal communication across the campus will be a priority. The Office of University Relations, after conferring with the administration and public safety officials, will use the following strategies to communicate with students, faculty/staff and campus visitors:

1. Email/e2campus notification (text and voice) to students/faculty/staff regarding the event and state the needed action desired at that time.  
**Responsibility: Security**
2. Post information to the University website.  
**Responsibility: University Relations**
3. Contact media outlets to post information.  
**Responsibility: University Relations**
4. Depending on the situation, telephone communication may provide a more immediate contact across campus.  
**Responsibility: University Relations/Security**
5. Depending on the situation, make personal contact with personnel in campus buildings.  
**Responsibility: Security**
6. Depending on the situation, use campus PA system to notify students/faculty/staff across campus.  
**Responsibility: Security**

The Office of University Relations will be responsible for gathering and verifying information about a crisis, assist in assessing its severity, and develop strategies on how information should be released. Certain events may require a single response or briefings with the media to keep the public informed. It is critical that our messages be clear. Therefore, no one is authorized to speak to the news media in a crisis without the clearance of the Office of University Relations. All inquiries should be directed to this office for a response. Information may be released through several outlets including news briefings, telephone, personal contact, email, website posts and fax transmissions.

The Office of University Relations will document the news coverage from local, regional and national sources. The office will compile information and evaluate its efforts to determine the overall success or failure of the crisis communication effort. This evaluation will direct the office on how to avoid future problems and appropriate follow-up measures.

## **J. Website Guidelines**

### **Purpose**

The Athens State University website is the University's internet communications tool to provide information to students, faculty, staff, alumni and friends.

### **Goals**

1. To provide timely information on admissions, financial aid, academic programs, alumni, career opportunities, events, academic information and student support services.
2. To provide a consistent design that promotes a positive image of the institution.

### **Oversight and Management**

The Athens State University website is under the management of the Office of University Relations. All design and maintenance are the responsibility of the site editor or designees. All pages must follow the design guidelines set forth by the Office of University Relations.

Website information provided for colleges, departments, and other university offices are the responsibility of the appropriate Vice President or College Dean. A designee may be appointed to update and maintain current information.

To keep the website attractive and current all webpages should:

1. Be substantially complete in content.
2. Follow the approved design guidelines for the University website.
3. Diligently update information in a timely fashion – removing out-of-date information or announcements.
4. Review all pages at least once every 60 days.
5. Insure that the website as a whole addresses any applicable statutes or policies including FERPA, copyrights and patents, ADA and handicap accessibility.
6. Pages failing to adhere to these guidelines may be removed from the website.

### **Non-Institutional Webpages**

Non-institutional webpages include those of faculty, staff, students, student organization and other pertinent organizations. These are not part of the official University website and must provide a visual separation. They may not use the institutional page design. The webpage must include the name of the individual or group responsible. Information must be kept current and reviewed every 60 days.

These webpages should meet the requirements of all University policies, student and faculty handbooks, and copyright laws. Sites considered or deemed obscene, harassing, threatening or in violation of local, state or federal law will be removed without warning.

### **K. Request to Submit Grant Proposal**

Employees that wish to apply for grants must complete a Grant Summary/Approval Form and receive approval to proceed before applying for grants.

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## 5.4 PROMOTION

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### A. Faculty - Salary Schedule D

See Section 6. 8 for promotion principles, criteria and procedures.

### B. Staff - Salary Schedule E

#### Criteria for Promotion

The staff member being considered for promotion shall be evaluated by the appropriate University Vice President with reference to the Uniform Guidelines for Advancement – Salary Schedule E as listed below.

Advancement within a level for a position on Salary Schedule E shall be based on several components as listed below.

#### A. Individuals seeking advancement within a level on Salary Schedule E **must** have the following:

1. Written request to the President from the individual desiring advancement; and
2. Written recommendation(s) from appropriate administrator(s), with appropriate documentation; and
3. Job performance, as demonstrated by a series of performance evaluations, with individual scoring “above average” or “exceeding expectations” on the last two annual job performance evaluations, with no major weaknesses, liabilities or problems noted; and
4. Incumbency in the position at the current salary grade for at least three years, absent unusual and extenuating circumstances documented by the appropriate administrator(s); and
5. Adherence to a written Professional Development Plan, which must include the following:
  - (a) Addition to the position of higher order compensable factors, including, but not limited to the position of increased supervisory responsibility;
  - (b) Attainment of appropriate education and/or professional development which is job related and which increases the individual’s knowledge or skills germane to the position, resulting in the individual becoming more valuable in helping the organization to meet stated goals or objectives; and
  - (c) Attainment of increased technical competence through certification, licensing, or training which is job related and which expands the ability of the individual to perform critical job functions.

#### B. In addition to the above requirements, for individuals seeking advancement within a level on Salary Schedule E, the President may also consider the following factors:

1. Market conditions in the area served by the institution;
2. Existence of unique circumstances or situations at individual institutions, justifying advancement, including demonstration of ingenuity, creativity, etc.

### Promotion Procedures Timeline

The form for the Professional Development Plan for Support Staff can be obtained from the computer network campus shared drive in a folder marked "Forms". It is a WORD document and the file name is "Uniform Guidelines for Advancement Schedule E".

- A. Complete promotion packets consisting of all the items listed in the Uniform Guidelines for Advancement must be submitted to the appropriate University Vice President by January 15.
- B. Recommendations regarding promotion will be submitted in writing to the President by April 15.
- C. Final approval of all promotions will be by the President prior to the beginning of the next academic year. The staff member will receive notification of the President's decision at this time.
- D. Nominees recommended but not promoted may resubmit their packet for consideration the next year. The nominee will update the materials and the appropriate administrator(s) will submit a new letter of recommendation for the promotion adhering to the same dates and guidelines outlined.

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## **PART SIX**

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### **FACULTY**

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- 6.1 ACADEMIC FREEDOM**
- 6.2 DESCRIPTION OF FACULTY POSITION**
- 6.3 FACULTY HIRING PROCEDURES**
- 6.4 KINDS OF FACULTY APPOINTMENTS**
- 6.5 CONTINUATION OF APPOINTMENTS (TENURE)**
- 6.6 ACADEMIC RANKS**
- 6.7 FACULTY EVALUATION**
- 6.8 PROMOTION**
- 6.9 FACULTY POLICIES AND REGULATIONS**
- 6.10 PROFESSIONAL IMPROVEMENT LEAVE (SABBATICAL)**
- 6.11 RESEARCH POLICIES AND PROCEDURES**
- 6.12 FACULTY-CREATED MATERIALS AND WORKS –  
COPYRIGHTS, PATENTS, AND ROYALTIES**

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## 6.1 ACADEMIC FREEDOM

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Institutions of higher learning are established for the common good. The common good depends upon the free search for truth and its free advancement. Academic freedom is essential to these purposes and applies to both teaching and research. Athens State University therefore supports the intent of the American Association of University Professors' **1940 Statement of Principles on Academic Freedom and Tenure, With 1970 Interpretive Comments.**

Faculty members of Athens State University are entitled to academic freedom for their professional activities. Faculty should feel free to pursue responsible, scholarly activities which will benefit humanity as a whole. However, faculty members should recognize that their activities are subject to the review of their peers (e.g., see Section 4.3, Curriculum Review Process).

Faculty members are citizens, and should be free from institutional censorship or discipline when speaking or writing as citizens. However, faculty members should recognize that their special position in the community carries special obligations, and that the public will often judge their profession and their institution by their statements, whether oral, written, or electronic in nature.

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## 6.2 DESCRIPTION OF FACULTY POSITION

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**Job Summary:** Faculty members at Athens State University are expected to carry out the traditional duties expected from a faculty member at a baccalaureate institution. These duties fall under the three broad categories of teaching, scholarship/professional development, and service. Faculty members are expected to support the mission of the university and abide by its regulations and those of the Alabama Community College System.

**Qualifications:** The minimum credential for full-time faculty members at Athens State University is a Master's degree in their teaching discipline. Faculty whose graduate degree is not in the same discipline as their teaching assignment, must have earned at least 18 semester hours of credit in the teaching field for it to be considered adequate. It is strongly preferred that full-time faculty hold a terminal degree in their assigned discipline. Candidates possessing a terminal degree in the appropriate discipline should be hired unless exigent circumstances necessitate hiring a candidate without a terminal degree. Previous teaching experience is also highly desirable.

**Duties:**

**I. Teaching:**

1. Teach assigned courses in accordance with the course syllabi and a schedule of classes that may include day, evening, weekend, and distance classes offered by the main campus and at the University Centers.
2. Engage in development of new and creative instructional materials.
3. Assist in keeping the curriculum of the program up-to-date.
4. Advise students in the successful completion of their degree program.
5. Post and hold office hours in a physical and electronic format as appropriate.
6. Assist with the departmental plan of assessment.
7. Assist with student recruitment, particularly when low student enrollment is an issue in the program.

**II. Scholarship/Professional Development:**

1. Maintain an up-to-date knowledge of advances and innovations in the academic discipline.
2. Engage in scholarly activity related to the discipline, e.g., presentation of papers, serving on panel discussion, publication of articles and books, grant writing, art exhibits, participation in seminars, book reviewing and abstracting.

**III. Service:**

1. Assist with committee work and administrative tasks related to the faculty member's department.
2. Assist with committee work and tasks related to the College.
3. Assist with committee work and tasks related to the University.
4. Engage in shared governance of the University through the appropriate institutions.
5. Engage in service to the community.
6. Engage in service to the faculty member's academic discipline.
7. Advise student organizations.
8. Attend departmental, college and university meetings along with in-service workshops, registration duties, honors and awards ceremonies, and graduation.

**IV. Miscellaneous:**

1. Perform other duties as assigned.

**Reporting:**

Individual faculty members report to and are responsible to their College Dean, the Vice President of Academic Affairs and the University President in ascending order.

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## **6.3 FACULTY HIRING PROCEDURES**

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The recruitment and selection procedures for the hiring of full-time faculty members will follow the following steps (see Uniform Guidelines from the Alabama Community College System):

1. Identification and documentation of need by concerned Colleges.
2. Budget support for the position by the Vice President of Academic Affairs, Vice President of Financial Affairs, and President.
3. Approval by the Chancellor to advertise.
4. Publication of available position nationally.
5. Appointment of Search Committee by the President.
6. Review of complete applications by Search Committee.
7. Screening and identifying finalists by the Search Committee.
8. After interviews are conducted by the Search Committee, the Search Committee recommends three (3) applicants to the President in alphabetical order who best match the requirements of the job.
9. President interviews the three finalists.
10. Invitation of employment will be offered by the President.

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## 6.4 KINDS OF FACULTY APPOINTMENTS

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Members of the faculty at Athens State University are appointed in one of the following categories:

1. **Ad Hoc Appointments**

Ad hoc appointments include **Research Associate, Lecturer**, or other titles. Persons holding ad hoc appointments are without eligibility for tenure, sabbatical leave, or fringe benefits of employment unless specifically delineated as having such in an appointment letter or contract for employment.

A candidate for **Research Associate** must be recommended by or be the principal investigator on a contract or grant which has sufficient funds to support the position and must be approved by the faculty of the discipline(s) concerned.

A **Lecturer** is someone who has exceptional talent, expertise, or experience who is invited as a teacher for a given course or as a speaker for a series of lectures.

Other titles may be used to designate ad hoc appointments for special purposes or limited periods of time.

2. **Temporary Appointments (Term Appointments)**

Temporary appointments are assigned to faculty whose services are required only for a certain specific period of time which is identified in the appointment letter or contract for employment. Temporary faculty, frequently called Adjunct Faculty, are not eligible for tenure or promotion.

3. **Probationary Appointments (Tenure - Track Appointments)**

Probationary appointments are assigned to faculty members who because of scholarly or professional achievement are on a tenure track.

4. **Tenured Appointments**

Tenured appointments are assigned to faculty who have completed the probationary period necessary to be awarded tenure. Usually only tenured faculty are eligible for promotion.

5. **Department Chairs**

Administrative department chairs are responsible for coordinating with the College Dean and the Vice President of Academic Affairs such duties as: assisting with the preparation of the fall, spring, and summer schedules; the preparation of assessment documents; identifying appropriate adjuncts and recommending such adjuncts to the College Dean; advising students and responding to student concerns within the respective programs; working at registrations and performing other routine duties as may be requested by the College Dean and/or Vice President of Academic Affairs. Department chairs will not evaluate faculty within their unit, but should attempt to resolve informally any student concerns prior to their submission to the College Dean.

6. **Partner Faculty**

Partner faculty are those who work part-time as adjunct instructors, but are full partners with the faculty. They have exceptional expertise, certifications, or educational experiences. Partner faculty may have key roles in teaching, may hold doctorates in their fields, or may be exceptionally gifted teachers. Partner faculty may also serve on college committees, serve on admission panels for particular programs, supervise students in internships and fulfill roles of partnering with local schools as required by accrediting agencies. Each college will have particular specialized functions for their partner faculty.

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## 6.5 CONTINUATION OF APPOINTMENTS (TENURE)

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The following principles are set forth as policy on continuation of appointment of a faculty member:

1. **Temporary Appointment (Term Appointment)**

A faculty member who holds a **temporary appointment** does not have a commitment for continuation of appointment and is not considered to have an ongoing contract.

2. **Probationary Appointment (Tenure-Track Appointment)**

A faculty member who has a **probationary appointment** and who has not been given written notice of non-continuation of appointment is considered to have an ongoing contract.

3. **Tenured Appointment**

A faculty member who has a **tenured appointment** is considered to have attained tenure as a faculty member. Tenure is attained after completion of three years of satisfactory employment in faculty classification at Athens State University. No letter of tenure is sent unless there is a problem with the possibility of tenure, in which case a faculty member will be notified according to the guidelines of the procedures for Postsecondary Employees (see Part Seven - Policies).

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## 6.6 ACADEMIC RANKS

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The faculty shall consist of the ranks of Professor, Associate Professor, Assistant Professor, and Instructor. The specific criteria listed below shall be used at the time of the initial faculty appointment and for promotional consideration and shall be considered minimal criteria for such purpose.

1. **Instructor**  
To be eligible for this rank, the faculty member should possess the minimum educational level of the master's degree in the professional field of service. The instructor need not have teaching experience at the college level.
2. **Assistant Professor**  
To be eligible for this rank, a faculty member should possess **strong potential** for further development as a teacher and a scholar. In addition, the member should possess a master's degree and a minimum of two years appropriate experience or the terminal degree in the teaching field.
3. **Associate Professor**  
To be eligible for this rank, a faculty member must have demonstrated an **above average** performance in teaching and must possess **strong potential** for further development as a teacher. Also, the member must have demonstrated a good record of performance in professional contributions or scholarly activities. In addition, the individual should have accumulated at least seven years of service at Athens State University and should possess the terminal degree in the appropriate field of appointment at Athens State University.
4. **Professor**  
To be eligible for this rank, a faculty member must have demonstrated **outstanding performance** in teaching as well as **above average performance** in professional contributions or scholarly activities. In addition, the individual should have accumulated ten or more years of meaningful experience at Athens State University and must hold the terminal professional degree in the appropriate field of appointment at Athens State University.
5. **Emeritus Status**  
Upon the recommendation of the Chancellor, the State Board of Education may recognize outstanding contributions to an institution and/or to the Alabama Community College System by conferment of the title of "Emeritus" upon certain retiring Presidents, faculty or staff. To be eligible for such consideration, such individuals must have had at least ten (10) years of honorable and distinguished service to the institution from which they are retiring. The criteria to be used in determining eligibility for selection for the award can be found in State Board of Education Policy 217.01.

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## **6.7 FACULTY EVALUATION**

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A course/instruction evaluation will be completed at the conclusion of each semester for all classes. Each faculty member must use the standard university form, but may also use an additional form or approach of their choice. Any additional forms or approaches must be reviewed by the appropriate College Dean.

All full-time faculty will go through a review/evaluation process during January-February of the academic year. The procedure starts when the faculty member conducts a self-review according to a form that includes teaching competency, advising responsibility, and other faculty duties. The self-evaluation, along with documentation, is then reviewed by the faculty member and College Dean. When the review is completed and signed, it is forwarded to the Vice President of Academic Affairs.

Signing the annual review is an acknowledgement that a meeting occurred between the College Dean and the faculty member in which the faculty member was given an opportunity to read and discuss the evaluation. It does not imply agreement with the content of the evaluation. Signing as an acknowledgement is mandatory.

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## 6.8 PROMOTION

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### **Principles for Promotion**

Faculty members become eligible for promotion according to the following principles:

1. The specific criteria establishing eligibility for a particular faculty rank shall be regarded as minimum requirements for promotional consideration. Such criteria shall be balanced with the understanding that exceptional merit may waive the time requirements for promotion.
2. While participation in institutional management/administration by faculty members is of service to the University, the primary emphasis for promotion is excellence in teaching.
3. The University shall have no quota system as to the number or percentage of persons who can hold any particular rank.

### **Criteria for Promotion**

The faculty member being considered for promotion shall be evaluated by the appropriate College Dean and the Vice President of Academic Affairs with reference to academic preparation, professional experience, and service to the institution according to the following guidelines:

1. Academic preparation shall be evidenced by post-baccalaureate study at an institution of higher learning leading to a graduate degree. Degree examples are: the Master's, Juris Doctorate, Educational Specialist, Doctor of Education, and/or Doctor of Philosophy degree. The institution from which the degrees were obtained must be accredited by the appropriate regional accrediting agency.
2. Professional experience shall be evaluated on the basis of the faculty member's contributions and potential to contribute in the following areas: 1) teaching effectiveness; 2) advising, counseling, and assisting in student activities; 3) research or scholarly activities; and 4) institutional, community, professional, and civic activities. While the single most important criterion is teaching effectiveness, the other areas are not necessarily listed in order of importance. In recognition of the advancement of knowledge, significant consideration shall be given to participation in scholarly activities.

A. **Doctoral Degree Defined**

Doctorate degrees include all earned academic and professional doctorates from accredited institutions of higher learning and professional schools provided the service to the institution is within the field of the earned doctorate.

B. **Advanced Academic Preparation**

Study conducted at the Master's, Doctoral, or Post Doctoral level is considered to be advanced study at Athens State University.

In the creative or applied arts, and in specialized professional, technical, or vocational fields, evidence of professional competency as demonstrated by research, publications, teaching success, honors, awards, or other recognition may be acceptable in lieu of formal advanced academic preparation. Documentation is required.

## Promotion Procedures

The procedures to be followed for consideration for promotion are outlined below:

1. By **October 1** in the year of promotion qualification (based upon time in service and educational degree), eligible faculty members shall fill out an Application for Promotion and submit this to their College Dean. Upon receipt of these applications, each College Dean shall conduct an election within the respective college to select two faculty members to serve on a University Peer Promotion Committee. In addition, each College Dean shall select one faculty member from within the college to serve on the Committee. Each member must be tenured and hold the rank of Associate Professor or Professor in order to serve on the University Peer Promotion Committee. A faculty member cannot serve if applying for a promotion, and cannot participate in the individual process for a faculty member who is applying for a higher rank than the Committee member currently holds.

The Vice President of Academic Affairs shall convene the first meeting of the University Peer Promotion Committee within the first week of October and shall assist with the election of the Chairperson. The Chairperson of the Committee shall notify each faculty member who completed an application that a digital portfolio must be submitted to the Chairperson by **October 31**. The digital portfolio shall consist of a copy of the Application for Promotion; vita; supporting documentation as to teaching and advising, research/scholarship, and service; any letters of support from other faculty/students; syllabi of courses taught since last promotion or hiring; annual performance reviews by the College Dean since the last promotion or hiring; and any additional support at the nominee's discretion. It is the nominee's responsibility to provide evidence of merit. Additional documentation may be retained in the candidate's office for viewing if requested or in the candidate's digital portfolio. The University Peer Promotion Committee shall review each portfolio and provide the individual College Deans with a written evaluation of each candidate from their colleges by **December 15**. Candidates shall be evaluated as highly qualified, moderately qualified or less qualified, with explanations. If more than one candidate exists, the candidates shall be ranked in order of qualification.

2. In cases of exceptional merit, a faculty member may be nominated for promotional consideration under the "exceptions rule" by the College Dean or a faculty member. The process may be initiated by advising the Vice President of Academic Affairs in writing as to a candidate's merits. A letter of support/non-support from the College Dean should accompany this request. The same timelines and requirements shall be followed for this process.
3. It is the responsibility of the College Deans to review their own college candidates' digital portfolios and the evaluations by the University Peer Promotion Committee by **January 30**. A written evaluation of each candidate shall be completed by the College Dean along with a ranking of the candidates. The portfolios and evaluations shall be then sent to the Vice President of Academic Affairs.
4. The Vice President of Academic Affairs shall review the candidate's digital portfolio and evaluations by the College Deans and the University Peer Promotion Committee, following the guidelines of academic rank and promotions criteria. The Vice President of Academic Affairs may consult with the College Deans or the University Peer Promotion Committee during this review. The Vice President of Academic Affairs shall forward portfolios and evaluations to the President and shall make a recommendation regarding promotions in writing to the President by **March 1**.

5. The President shall review the digital portfolios, recommendations and rankings, and consult with the Vice President of Academic Affairs or College Deans as necessary. Final approval of all promotions shall be made by the President by **April 1** or as soon as possible thereafter, based upon budget constraints, and any other circumstances that must be taken into consideration. The President shall try to ensure that promotions are equitable for all colleges. The President shall notify each candidate of the final decision in writing.
6. In years of budgetary constraints, candidates recommended but not promoted may request a resubmission of their digital portfolio to the College Dean for consideration the next year. The candidate may update the portfolio and the College Dean shall submit a new letter of support/non-support of the promotion, adhering to the same dates and guidelines as outlined.

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## 6.9 FACULTY POLICIES AND REGULATIONS

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### 1. **Role of Faculty in Academic Matters and Improvement of Educational Programs**

Any measure relating to academic matters and properly passed by the faculty shall become the policy and practice of the University unless it (a) cannot be performed for fiscal or other strictly administrative reasons or (b) concerns an issue wherein the law, including state board policy, requires the administration to set law or policy. In either of these cases, the administration shall report promptly to the faculty the reasons why the measure cannot become policy and practice, in which case the measure becomes a resolution expressing the will of the faculty if and when the administration is able to act.

### 2. **Faculty Schedule**

Teaching faculty members are expected to work a full professional week to include 35 hours duty per week. At the beginning of each semester, faculty members will submit a time-use schedule including office hours to their College Dean. The College Dean will submit this information to the office of the Vice President of Academic Affairs and to the Information Desk.

### 3. **Class Scheduling**

In regard to employment hours, there is no distinction between day, extended day, evening or weekend programs. In scheduling classes, a continuous analysis of student needs will be made to ascertain the number of day classes and the number of night classes required for optimum service to students. The need of students will in all cases govern the structuring of class schedules; faculty members will be assigned teaching duties accordingly. Every effort will be made to fully utilize the services of full-time faculty members prior to the employment of part-time faculty.

### 4. **Classroom Location Changes**

Changes in classrooms from scheduled locations must be cleared by the Administrative Assistant to the Vice President of Academic Affairs. College Deans must be notified of all changes.

### 5. **Final Examination Schedule Changes**

All faculty should follow the final examination schedule published for each semester. Any changes must have the approval of the College Dean prior to alteration from the published schedule.

### 6. **Other Duties/ Additional Duties**

Employment includes faculty in-service workshops, faculty meetings, student advising, school/department meetings, committee responsibilities, registration, honors and award ceremonies, and graduation. All faculty members will attend to these duties as part of their basic employment contract. All faculty members are expected to be thoroughly familiar with the approved programs of study included in the college catalog.

Faculty who have additional duties, such as department chair or other administrative assignments, may have a reduced teaching load for that time period. In the event that a faculty member is scheduled to teach a course(s) which fails to attain a sufficient enrollment, the faculty member will be given other duties as assigned. The nature of these duties will be determined at the discretion of the president and the academic administration.

### 7. **Faculty Productivity**

An **average** individual productivity factor of 105 semester hours credit per semester per full-time equivalent faculty member should be maintained. In order to meet the needs of students and to attain this productivity goal, faculty members may be expected to teach up to 15 semester hours in any given semester.

8. **Teacher Load**

The specific duties of the teachers and the hours involved will be determined by the President or his designee with the understanding that good professional judgment will be exercised. All faculty members are expected to devote a full academic work week to include: classroom teaching of an average of eight (8) three-semester hour courses per nine-month academic year. Except by specific request from the faculty member, this load is not to exceed twelve semester hours nor more than four preparations per semester, except in those cases where enrollment in the faculty member's courses fall below a total of 105 credit hours. If a faculty member's credit hour production falls below that number, they may be assigned an overload course or other duties but without additional compensation.

9. **Advising**

Each faculty member will be assigned advisees by the appropriate counselor in the Transfer Center. The faculty member must maintain a record on the academic progress of each student and should meet with the advisee to plan a program of study as needed.

10. **Research or Scholarly Activities**

(See also Section 3.11, Research Policies and Procedures.) The institution has an important obligation and dedication to the advancement of knowledge. Therefore, participation in research or scholarly activities is given significant weight in various decision-making processes, most importantly those involving promotion.

Institutional funds for research projects of medium to large scale are not usually available. Successful competition for external funds can be accompanied by release time from instruction or other assigned duties, the external funds used, in part, as compensation. However, smaller research projects, especially those involving students, can be funded from institutional monies when available.

11. **Faculty Support Per Major**

Each instructional area of a major should be staffed by at least one full-time faculty member to assure program continuity. Additional faculty will be considered only after a review of that area or discipline has been made and such increases as may be proposed can be justified based on the number of majors, the number of minors, the service functions of the discipline, the contact hours currently scheduled, and the number of graduates per year.

12. **Class Size – Maximum and Minimum**

In order to ensure a reasonably equitable workload for faculty and the prudent operation of the university, it is necessary to establish criteria for maximum and minimum class sizes. Under normal circumstances, given that Athens State University teaches only upper-division courses, the maximum size of a class should be 25 and the minimum size should be 8. The maximum credit hour (CH) production of a full-time faculty member should normally not exceed 300 CH without receiving overload pay. The minimum credit hour production of a full-time faculty member should be at least 105 CH.

Circumstances frequently require that classes be offered with more or fewer students. If a class reaches an enrollment of 40, steps will be taken to split that class into two sections. The faculty member teaching the class will be offered the option of teaching the class as an overload or dropping one of their other classes and have it reassigned. However, if the affected faculty member is teaching one or more classes that has less than 8 students, they may not qualify for overload pay. That determination will be at the discretion of the College Dean in consultation with the Vice President of Academic Affairs.

If a class enrollment falls below 8, it will be continued only at the discretion of the College Dean, based on student and program needs. If a class enrollment falls below three and the faculty member wants to teach it, the under-subscribed course will be treated as an independent study or a

directed readings course for purposes of the faculty member's workload. This determination will be at the discretion of the College Dean and the Vice President for Academic Affairs and will be based on the history of enrollments in the faculty member's classes.

**13. Adjunct Faculty Employment**

In order to maintain institutional quality and continuity, the policy will be to have no more than one-third of the total full-time faculty equivalency nor twenty percent of the student credit hours taught by adjunct instructors.

The Vice President of Academic Affairs and College Deans shall assure adequate orientation of adjunct instructors. Adjunct instructors must submit official transcripts to the office of the Vice President of Academic Affairs prior to employment. Academic qualifications for adjunct instructors shall be the same as those for full-time faculty.

Adjunct instructors will be expected to be on campus or at a designated alternate site for each scheduled class meeting and to maintain the class throughout the scheduled meeting time. The quality of instruction should reflect the highest standards associated with the academic life of the school. Each adjunct instructor is encouraged to actively participate in the academic and social life of the campus.

**14. Other Professional Activity and Consultant Leave Time**

Involvement in the public schools, in professional organizations/conferences, and serving as a professional or educational consultant are vital parts of faculty activity at Athens State University.

Upon the request of a faculty member and approval of the President, professional activity or consultant leave time may be granted.

**15. Class Attendance Policy**

It is accepted academic philosophy that sustained class attendance is essential to the overall educational value of a course of study in higher education. In order to achieve maximum benefit from educational activities, Athens State University expects regular class attendance from all students and faculty.

The standards of performance to be met by each student, including specific attendance regulations for each course, will be set by each faculty member for the course. Class attendance policies and other course requirements will be published in the course syllabus, distributed to students and discussed in detail by the faculty member on the first day of classes each semester. It is the prerogative of the faculty member to allow make-up examinations.

**16. Outside Compensated Activity**

Full-time faculty are required to work a full professional week, fulfilling their academic duties. Compensated activities, outside of normal working hours should not adversely impact the faculty member's ability to perform his or her assigned institutional duties.

**17. Professional Development Program**

Athens State University has a professional development program available to faculty. This program provides limited financial support for a variety of activities (release time, travel expenses, materials, etc.) that facilitate the professional endeavors of the faculty member. This support may extend to a five-year development program for the faculty member.

**18. Resignation**

All faculty members intending to resign are required to give written notice of resignation at least thirty (30) days prior to the beginning of a semester. Each faculty member shall complete all instructional duties and be cleared by the Vice President of Academic Affairs and the President for any semester started, except by written mutual agreement by both parties.

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## **6.10 PROFESSIONAL IMPROVEMENT LEAVE (SABBATICAL)**

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Revised May 2009

**(Refer to State Board Policies 610.01 and 611.01 for information on other leave opportunities.)**

Full-time faculty members, upon completion of each seven continuous academic years of service, are eligible for professional improvement leave without pay. The purpose of the professional improvement leave program is to enable faculty members to pursue their scholarly interests, free of their normal institutional duties. The ranks of Professor, Associate Professor, and Assistant Professor are eligible for professional leave.

Professional improvement leave is not automatic. The faculty member must first submit a professional improvement leave application, as described below, to the College Dean and to a review committee comprised of six full-time tenured faculty members (two from each school). The committee will be formed under the purview of the Faculty Senate. The committee will review each leave application and will list the merits of each application. The findings of the committee will be forwarded to the Vice President of Academic Affairs. The application must be subsequently approved by the College Dean, the Vice President of Academic Affairs, the President, and the Chancellor. If a department has multiple requests for leaves at any one time, maternity leave, child care leave, and professional improvement leaves have priority, in that order. College Deans may ask to postpone requests for professional improvement leave when such absences would make it difficult for the department or school to meet its instructional obligations, although applications may still be forwarded through the entire process. Leave may be postponed for the above reasons for no more than two years.

The member must continue to make their contributions to insurance and other benefit programs for them to remain in effect. Contributions normally made by the University to the faculty member's and other benefit programs shall be continued during the leave without pay period.

A faculty member granted professional improvement leave without pay must submit a written report of all activities and accomplishments to the College Dean and Vice President of Academic Affairs by the end of the first semester after returning to campus.

### **Professional Improvement Leave Application**

Applications for Professional Improvement Leave must be submitted no later than December 15 of the academic year preceding the academic year in which the leave is requested. This timeline gives the university adequate time to assess the impact of leave requests on finances, instruction, etc. A leave request outside this timeline may be considered, but must be clearly shown to be an exceptional opportunity (see above) which was unknown to the faculty member during the normal timelines. Leave requests made during the normal timelines will take precedence over any requests made outside the timelines.

The Professional Improvement Leave Application must include the following (cover forms are available from the Office of the Vice President of Academic Affairs):

1. A full description of planned activities during the leave period.
2. An explanation of how these activities will benefit the institution and the faculty member's professional growth.
3. A description of arrangements to cover the faculty member's instructional responsibilities, supervision of advisees, and other duties for which the faculty member is responsible.

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## **6.11 RESEARCH POLICIES AND PROCEDURES**

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### **Proposal Development**

A proposal is the mechanism used to apply for external funding for a research project. It introduces the idea to be investigated, provides relevant background information, identifies the person(s) who will do the work, indicates how the research will be conducted, and lists the costs involved. When writing proposals one should know the target agency; adhere to the agency's proposal format; and present a clear, concise statement of what is being proposed and how it will be achieved.

The Offices of Academic Affairs and Institutional Research assist the investigators with certain aspects of the preparation and submission of research and instructional proposals to external agencies.

### **Criteria for a Research Project**

Approval of any research project is based upon several criteria specified by the Vice President of Academic Affairs:

1. The research must fit within the framework of the University's objectives.
2. The research must be proposed and conducted within a regular University department or unit or through the cooperation of several departments or units, and must be directed by an individual holding faculty rank.
3. All proposals for external funding must be approved by the appropriate unit administrator(s).
4. Provisions must be made for facilities that are adequate to carry out the objectives of the proposal.
5. The budget must be adequate for the work proposed.
6. Provisions must be made for any required University funds (cost sharing and/or matching) and expenses must be computed in accordance with usual University practice.
7. Terms of any contract or grant to support research must permit flexible operation under regular University policies and procedures; allow for publication of results; reimburse the indirect costs where allowed; conform to the principles of Copyright Policy; and in general, permit the University to exercise administrative control and responsibility for the work.

The Vice President of Academic Affairs does not review the substance or the technical merit of proposals. This is the responsibility of the appropriate department head(s), director(s), and/or College Dean(s).

### **University Obligations for Proposed Research**

In accepting a research award, the University agrees to:

1. Provide an appropriate share of the faculty member's time to perform the research.
2. Provide appropriate administrative support, at both the University and the departmental levels.
3. Provide appropriate facilities, resources, and personnel necessary for the proposed work.
4. Submit required reports and publications describing the research performed and the results achieved.
5. Comply with the terms and conditions of the grant or contract.

### **Eligibility to Submit Proposals**

Any individual who holds one of the following ranks may serve as a principal investigator and submit research proposals for external funding.

1. Tenured or Tenure-Track Faculty
2. Instructor
3. Assistant Professor

- 4. Associate Professor
- 5. Professor
- 6. Professor Emeritus

## **Budget**

The complexity of the project must be reflected in the budget, i.e., the objectives and methods described in the proposal should drive the budget, not vice versa. Although budgets are cost estimates of future research, they must be prepared with care and must provide a detailed breakdown of each proposed cost category.

In preparing the budget section, the principal investigator should review thoroughly the sponsor's requirements, comply with the suggested/required format, and understand what items are allowed as direct costs. Because some sponsors do not send the budget section to the reviewers, the agency may request the budget be separate from the technical description. Other agencies ask reviewers to evaluate the budgeted direct costs as they relate to the contents of the proposal. In all cases, however, the investigator should ensure that the proposed research plan supports the requested budget.

### **1. Direct Costs**

#### **A. Salaries and Wages**

The salaries and wages section is one of the most crucial among the various budget categories. Agency staff want to know each participant's title, name, employment level, annual salary, type of appointment (nine or twelve-month), and the percentage of effort to be spent on the project.

The salaries of tenured and non-tenured faculty members and other University personnel constitute an appropriate direct cost proportion to the time each expects to spend on the project. Other personnel services that are purchased on an hourly basis also may be charged.

Salaries and wages should reflect accurately the current compensation level of employees. However, in view of the length of the review process and the duration of the project, future salary increases should be built into the budget.

An investigator who fails to anticipate such needs may be underfunded if the grant is awarded. This would require either a reallocation of funds within the approved cost categories or a supplementary request to the funding agency, which may not be approved. Finally, investigators on an academic-year contract are reminded that summer salaries are projected at the rate of their academic-year salary for the full summer. Some agencies, however, may only approve two summer months per year or two-ninths of the academic year salary.

Faculty and staff members, regardless of appointment may not be reimbursed for more than 100 percent of effort in any given time period. Furthermore, some agencies may have an annual salary cap per individual for an allowable direct cost salary change.

Grant funds may not be used to augment the total salary or rate of pay of faculty or staff. Grant funds are replacement funds and are used to release a percentage of the employee's time to work on the project. Salaries charged against grants must follow a scale consistent with University policies and practices.

#### **B. Fringe Benefits**

Fringe benefits reflect the University's contribution to Social Security, retirement, and insurance programs. These costs are computed in the budget of the proposal as estimated percentages of the total direct salaries and wages; however, the funded project will be charged for the actual costs of the benefits, which may vary from these estimates.

#### **C. Consultants**

Compensations for services of outside experts who are consulted for specific tasks of short duration are usually made in a single payment. If the services are required repeatedly during the project, the consultant should be paid as a University employee, and the estimated cost of the services should be included

under the salaries and wages category. If a University faculty member is needed as a consultant, it is necessary to budget the colleague's fee to the specific project account (to cover the percentage of his/her salary required for the project) or the request that the service be provided as a professional courtesy in the form of cost sharing. **A University employee cannot be compensated for more than 100 percent of effort.** Some federal agencies limit reimbursement for consultants to the equivalent rates for government-service (GS) level personnel.

The use of paid consultants must be justified carefully, and investigators are advised to explain in the budget narrative that the required expertise either does not exist on campus or is not easily available. The budget explanation also states the time period for which the consultant will serve.

**D. Equipment**

**E. Expendable Equipment and Supplies**

**F. Travel and Subsistence**

Domestic travel is requested based on estimated expenses for lodging, meals, and round-trip economy airfare. The budget must justify the purpose, destination, and dates of domestic travel. Trips to the contractor's facility or appropriate scientific meetings should be included. Foreign travel requests must specify the destination and are listed separately from domestic travel. When travel is extensive, details are itemized on a separate sheet. University rates used to determine the cost of travel and specific guidelines are available from the Office of Financial Affairs. Even if paid via a grant, all travel must have appropriate approval from the University, Postsecondary, and Governor before travel can be taken.

**G. Publication Costs**

Investigators may budget the anticipated costs of publishing the results of sponsored research, including the costs of reprints, page charges, and illustration costs, if required. However, on federal grants, this budget category may not include charges for publication of books, monographs, or pamphlets, or costs for promotion, distribution, and general handling of materials. These costs require special agency approval. Costs for services performed prior to printing (typing, editing, etc.) are not considered publication costs and are budgeted in the "other cost" category.

**H. Other Direct Costs**

Other direct costs may include costs for pre-printing publications, animal maintenance, payment of volunteers in approved studies using human subjects, shop charges, service contracts, computer charges, graphic arts and photographic services, equipment rental, etc. Indicate separately the costs in each category and justify any excessive costs that may appear.

**2. Indirect Costs**

Indirect costs are, in effect, unallocated overhead. They include costs that have been incurred for common or joint objectives of a university and the research effort housed at its facilities. Such costs are legitimate and cannot always be identified readily and uniquely with a particular sponsored project or institutional activity. Examples include utilities, facilities maintenance and libraries.

The U.S. Office of Management and Budget publishes Cost Principles for Educational Institutions (circular A-21), which provides to colleges, universities, and federal agencies the principles for

determining the costs applicable to research and other work performed under federally sponsored agreements. Calculations are based on actual costs incurred for the previous fiscal year.

### **Over-Expenditures of Grant/Contract Funds**

Principal investigators have the primary responsibility for managing expenditures within the fiscal regulations and amounts specified by the sponsor. The principal investigator is responsible for carefully analyzing the monthly status reports to ensure that all items are correct, that none are absent, and that adequate funds remain to complete the project. Any over-expenditure of funds, whether it be by audit disallowance or otherwise, is the responsibility of the appropriate department or unit.

## **Laws, Regulations, Policies, and Procedures Governing Research**

### **1. Conflict of Interest**

It is important for faculty, staff, and administrators to avoid conflicts of interest between or among research obligations, outside interests, and other University obligations. Faculty members must comply with all state and federal regulations pertaining to conflicts of interest.

#### **A. Alabama State Board of Education Policy 615.01: Conflict of Interest**

1. Honesty and professional integrity are expected of all employees. It would be a serious violation of this trust if the interests of any institution under the direction and control of the State Board of Education were to be disregarded in the course of performing professional duties. The use of official position and influence to further personal gain or that of families or associates is unacceptable behavior.
2. All college employees have the right to acquire and retain status of a professional, personal, or economic nature. In a community as diverse and complex as the institutions that comprise The Alabama Community College System, there is always the possibility that the pursuit of individual interest may result in a conflict with those of the employing institution. This places an important responsibility on faculty and staff to recognize potential conflicts and prevent them. It is not expected that every employee will have a complete and current knowledge of the laws and regulations that apply to conflict of interest. However, all persons, particularly those with significant exposure to potential conflict of interest situations, should develop sensitivity to this issue and seek guidance when appropriate.

## **University Policies and Procedures**

### **Consulting for Remuneration**

Consulting is defined as external professional activities for pay, and includes any activity that: is performed on an individual contractual basis for any individual(s), firm or agency other than the University; is based on the professional knowledge, experience and abilities of the faculty member; is undertaken for personal compensation beyond the payment of a nominal honorarium and/or reimbursement of expenses; and clearly enhances the professional development and expertise of the faculty member.

Appropriate consulting activities may be mutually beneficial to the faculty and the University and may result in improved teaching, research and/or service. Hence, reasonable participation in consulting is encouraged within the parameters described in the Policy Manual of the State Board of Education.

Consulting does not include private business undertakings of faculty members nor those responsibilities that are part of their regular professional responsibilities to the University for which they are already being compensated.

In some cases, there may appear to be a “gray area” between a research agreement and a consulting agreement. All research agreements must be submitted through the Office of Financial Affairs and the President’s Office. All consulting agreements should be discussed with the appropriate school dean to ensure no conflict with assigned duties and responsibilities. Faculty members are cautioned not to sign a conflicting patent agreement.

A faculty/staff member is compensated for the activities required in fulfillment of the employee’s obligation to the University. When a grant is obtained, grant funds may be used to purchase release for the percentage of the faculty/staff member’s time based upon the current salary contract and that amount of time which will be devoted to the proposed grant activities. The grant must provide replacement funds equal to that percentage of time identified as release within the grant. For example, if the faculty/staff member is released for 50%, the grant must provide 50% of the current contract salary plus appropriate fringe benefits provided by the faculty member and the institution (insurance, retirement, FICA and Social Security).

It is the responsibility of a faculty/staff member to ensure that teaching/job assignments can be “reasonably accommodated” through the use of adjuncts or hiring of term-appointments during the time of release. The signature approval on the grant request from the Vice President of Academic Affairs will be provided only after such accommodations have been documented to the satisfaction of the College Dean and the Vice President of Academic Affairs. The final signature of the President will provide assurance that, should the grant be funded and accommodations obtained, purchased release time will be allowed. For faculty, the release from one class will be equivalent to 12.5% during the nine-month contract period; summers will be 25% for each class. For staff, the release will be based upon a 40-hour workweek within a twelve-month contract period.

Any faculty/staff member who performs consulting activities for which compensation is provided must request personal/annual leave during those work hours for which they are being compensated as a consultant.

All release-time, personal/annual leave must be approved by the College Dean, Vice President of Academic Affairs and the President of the University.

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## 6.12 FACULTY-CREATED MATERIALS AND WORKS – COPYRIGHTS, PATENTS, AND ROYALTIES

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It is the policy of the State Board of Education that in a situation where a college instructor or administrator develops a copy rightable or patentable material or work, and the development of the material or work arises in whole or in part from the use of college resources, the college shall have complete and exclusive ownership of all resulting copyrights and/or patents. However, in recognition of the principles of academic freedom and scholarship, and to encourage the development of copy rightable and patentable materials, it shall be the policy of Athens State University that ownership of copyrights and/or patents and the division of any resulting royalties will be determined by whether the copyrights or patents were the result of individual efforts, University-Assisted efforts, or University-Assigned efforts, as defined below.

1. **Individual Efforts:** In recognition of the long-standing custom that faculty members own copyright to their individual scholarly work, a faculty member of Athens State University is entitled to ownership of copyright or patents, and royalties or other income, derived from individual scholarly works or personal research. Individual effort or work by a faculty member is defined as that scholarly work generally expected of faculty and work which is incorporated into the regular reward processes of the University (see Section 3.2, Description of Faculty Position) and is not a specific task or required duty assigned by the University.

As an individual effort, it is expected that the faculty member may make **routine** use of the University library, office space, supplies, facilities, or personnel, in producing their scholarly works. This routine use does not constitute University assistance. Use of University resources that are not routine will classify the work as a University-Assisted effort. For example, submitting an entire textbook manuscript to a departmental secretary for word-processing would **not** be considered routine use of University resources.

2. **University-Assisted Efforts:** In cases where faculty members produce materials or works in which the University co-sponsors the work and/or shares in the production costs beyond routine use of University resources, the materials or works shall be subject to copyright or patent by the faculty member and/or the University. The assignment of copyright or patent and division of any royalties will be determined **in advance** in an application and contract executed between Athens State University and the employee in which the employee will be authorized to use the resources of Athens State in the development of the material or work. In particular, the contract will specify:
  - a. The nature, scope, type, and amount of Athens State University resources that are to be used in the product's development.
  - b. The assignment of copyright or patent with the employee, with the University, or both, depending on the percentage of assistance supplied by the University.
  - c. The proportionate share of royalties or fees which the employee or University will be eligible to receive. The application and contract must specify the types of documentation to be provided to the University as to what University resources were used and what outside resources were used to develop the material. The portion of any royalties or fees to be received by the employee or University must have a direct relationship to the verifiable amount of the employee's personal time, resources, and/or funds which are to be used in the product's development, as compared to the verifiable amount of the University's resources to be devoted to the development of the product.

- d. That any compensation to the employee arising from the development of the product must be made from proceeds derived directly from the publication, manufacture, sale, lease, or distribution of the products, and not from any State or Federal funds.
- e. That the contract does not provide an exemption from, and does not imply compliance with, the Alabama Ethics Law, and that it shall be subject to the scrutiny of the Alabama Ethics Commission, which will be provided with a copy of the contract.
- f. That prior to the payment of any compensation to any University employee under a contract of the type described above, that the Chancellor must approve any payment in writing.

Any Athens State University employee who is interested in entering into an agreement with Athens State for the development of a instructional material or work with University assistance should begin the process by submitting to the Vice President of Academic Affairs a written proposal which describes in detail the proposal, and which contains a list of all anticipated University resources needed for the development of the work as well as all resources to be provided by the employee or any other person or source other than the University.

3. **University-Assigned Efforts:** In cases where faculty members produce materials or works in which the University directly sponsors the work and specifically assigns the faculty member to write or produce the materials or works, the materials or works shall be subject to copyright or patent by the University. If determined **in advance** by the producer and the University, sharing of any royalties or fees with the author or producer may be authorized as an incentive to encourage further development of copyrightable or patentable materials. A faculty member's general obligation to produce scholarly or creative works and/or the receipt of a Professional Improvement Leave (see Section 3.10), unless there is a specific agreement to the contrary, do not constitute University-Assigned Efforts as defined in this policy.

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## **PART SEVEN**

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### **FACULTY GOVERNANCE**

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- 7.1   ROLE OF FACULTY**
- 7.2   FACULTY CONSTITUTION AND BY-LAWS**
- 7.3   CURRICULUM REVIEW PROCESS**

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## **7.1 ROLE OF FACULTY**

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Academic policy-making rests in the faculty at Athens State University. The entire faculty constitutes the academic governance body of the institution, with the Faculty Senate acting as an executive committee and transacting the regular business of the Faculty. The Senate meets monthly, while the entire Faculty meets twice during the nine-month academic period. Special meetings may be called at other times.

Currently, the Faculty has six standing committees:

1. Academic Affairs Committee
2. Curriculum Committee
3. Faculty Affairs Committee
4. Learning Resources Committee
5. Sabbatical Committee
6. Faculty Elections Committee

These committees accept charges from the Faculty or the Faculty Senate and report back to the respective group for action on their findings. The presiding officer will issue a call to all faculty members for requests for standing committee assignments at the beginning of the academic year and new Faculty may submit requests at the time they are hired, with the presiding officer assigned the task of matching these requests. Standing committees of the Faculty should have equal representation from each College.

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## **7.2 FACULTY CONSTITUTION AND BY-LAWS**

### **(Revised by vote of The Faculty, October 2008)**

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At its meetings, the time and frequency of which shall be determined by itself, the Faculty shall conduct business according to the rules of parliamentary procedure whenever a quorum consisting of a simple majority of all regular voting faculty members shall be present. Regular voting faculty members are defined as all those who are not retired, adjunct, or temporary. **[Historical note:** President Jerry Bartlett placed a restriction on voting membership in an official memo dated February 14, 1991, excluding those faculty members whose duties are exclusively or essentially administrative. At that time, heads of schools were not affected by this restriction and could participate fully in Faculty meetings. However, on the occasion of the appointment of School (now College) Deans, the President asked that the Deans exempt themselves from Faculty meetings.] The presiding officer at these meetings shall be elected by the regular voting faculty from its own membership.

Any measure relating to academic matters and properly passed by the Faculty shall become the policy and practice of the institution unless it (a) cannot be performed for fiscal or other strictly administrative reasons or (b) concerns an issue wherein the law, including state-board policy, requires the administration to set policy or practice for the institution or to follow already existing law or policy. In either of these cases, the administration shall report promptly to the Faculty the reasons why the measure cannot become policy and practice, in which case the measure becomes a resolution expressing the will of the Faculty if and when the administration is able to act.

The type and number of committees and councils shall remain the same as in the 1989-90 academic year until the regular voting faculty, through parliamentary procedure, enacts changes.

This proposal assumes that on non-academic matters of shared concern, such as the selection of employee benefit plans, the faculty will meet with the staff and administration in a faculty-staff meeting entirely separate from the Faculty meetings described above and will vote on the issue, each vote counting equally.

**(Historical Note:** The Faculty adopted this constitution by written vote on February 11 and 12, 1991. President Jerry Bartlett had approved the governance committee plan to allow only individuals holding regular faculty rank to vote for or against adoption, and he had also declared administrators, except for heads of schools, ineligible to vote. The official margin of adoption was 27 yea, 16 nay.)

#### **By-Laws of the Athens State University Faculty**

**Article I. Name.** The name of the governing body established by the Constitution shall be the Athens State University Faculty or, in house, the Faculty.

**Article II. Purpose.** The purpose of this body is to provide governance in all academic matters at Athens State University to the maximum extent allowed by law.

**Article III. Members.** Voting members shall consist of all faculty members who are not adjunct, temporary, or retired, excluding those who hold regular faculty rank but whose duties are exclusively or essentially administrative (e.g., College Deans).

**Article IV. Officers.** There shall be a presiding officer elected by the Faculty according to the process described in Article XI, Paragraph C. The presiding officer shall be eligible for re-election. The presiding officer shall appoint a secretary who shall be responsible for recording the minutes of all Faculty and Senate meetings and for preparing and distributing updated copies of the constitution and by-laws to every Faculty member yearly. The presiding officer must be a tenured member of the Faculty. The presiding officer shall preside over all meetings of the Faculty and the Faculty Senate.

If temporarily absent from a meeting or portion of a meeting, the presiding officer shall appoint a temporary presiding officer from among current senators. If a permanent vacancy shall occur in the office of presiding officer, the senator with the most seniority at Athens State University shall immediately assume the duties of presiding officer, and the Faculty Elections Committee, using a procedure similar to that outlined in Article XI Paragraph C, shall organize and conduct within thirty days an election by secret signed or electronic ballot among The Faculty to select a new presiding officer from among current senators.

The presiding officer serves a term of one year. The term of office for presiding officer commences on June 1.

**Article V. Quorum.** A quorum shall consist of a simple majority of all those eligible to vote in Faculty meetings.

**Article VI. Parliamentary Authority.** Robert's Rules of Order shall be the parliamentary authority used to settle procedural objections or points of order.

**Article VII. Meetings.** The regular meeting times of the Faculty shall be immediately following the first and last monthly Faculty and Staff meetings called by the President of Athens State University in the regular academic year (**Adopted October, 1995**). The Faculty will only meet during the nine-month academic period (**Adopted September, 1991**). Special meetings may be called by any Faculty member by notifying the entire membership in writing and stating the purpose of the meeting. If a quorum attends this meeting, business may be conducted but is limited to the stated purpose of the meeting. The presiding officer and secretary will compile a strictly informational, nonprescriptive agenda for all Faculty meetings (**Adopted April, 1991**). Proxy votes are only allowed for or against referring a published agenda item to a committee (**Adopted May, 1992**).

**Article VIII. Limitations on Debate.** Debate shall not be limited to motions on the floor but shall be permitted about academic issues and concerns even when no motion is pending. However, when a motion is pending, debate shall be limited to the issue it concerns in accordance with Robert's Rules of Order. In all discussion or debate, whether in regard to a pending motion or otherwise, the presiding officer shall recognize all persons seeking the floor to speak on an issue before recognizing any previous speaker on that issue. Exempt from this article are committee members presenting a report, for in that case the assembly needs to hear them answer charges and questions in a timely manner. Further, the maker of a motion, including an amendment, who has had no opportunity to answer objections shall have the right to answer them, even if this means speaking for a time after debate has been closed by a call for the previous question.

**Article IX. Committees.** The Faculty shall have the right and power to form both standing and ad hoc committees. The presiding officer will issue a call to all faculty members for requests for standing committee assignments at the beginning of the academic year and new Faculty may submit requests at the time they are hired, with the presiding officer assigned the task of matching these requests. Standing committees of the Faculty should have equal representation from each College. Committees appointed or elected at meetings or in response to motions at meetings shall include a representative from each College, with the library considered as a part of the College of Arts and Sciences.

Except for committee reports considered by the Senate, committee reports affecting the Faculty as a whole for an academic year or longer shall be presented to all members at least one week in advance of the Faculty meeting where the report will be orally presented and discussed. The actual vote shall be by secret signed or electronic ballot presented to all members no later than the Tuesday following the Faculty meeting where the issue is discussed and deadlined no earlier than the following Friday. Such votes require a quorum (a majority of the Faculty casting a valid ballot). For passage, a proposition must receive a majority of votes of those casting valid ballots. The ballots shall be kept on file for one month for inspection by any Faculty member, and a tabulated summary of the ballots shall be kept on permanent file.

Pursuant to this by-law, the Faculty has established the following standing committees: the Academic Affairs Committee, the Learning Resources Committee, the Curriculum Committee, the Faculty Affairs Committee, the Sabbatical Committee, and the Faculty Elections Committee.

The Sabbatical Committee must consist of six full-time tenured faculty members, two from each College (see Faculty Handbook Section 3.10). The Faculty Elections Committee must consist of nine members, three from each College. Members of the Faculty Elections Committee cannot be candidates for any senate offices or positions.

A continuing duty of the Academic Affairs Committee will be to submit to the Faculty early in each academic year a proposed calendar for the following year (**Adopted February, 1992**).

A continuing duty of the Faculty Affairs Committee will be to conduct an annual review of the Faculty Handbook and to submit proposed changes to the Faculty for approval when appropriate.

The presiding officer will be the representative of the Faculty on the President's Administrative Council (**Adopted April, 1992**).

All committees must keep formal minutes of their meetings to meet the accreditation requirements of the Southern Association of Colleges and Schools (SACS).

**Article X. Amendment of Constitution and By-Laws.** The Constitution may be amended only by a written and recorded two-thirds vote of the Faculty followed by a written acceptance by the President of the University. The By-Laws may be amended by a written and recorded two-thirds vote of the Faculty participating in a vote where a quorum is present or participating. The By-Laws may be temporarily suspended by a two-thirds vote of those voting at a meeting where a quorum is present, but this does not apply to the Constitution. When a provision from the Constitution is repeated in the By-Laws, the rule in this article that governs the Constitution shall apply.

**Article XI. The Faculty Senate.** During interim periods between regular meetings of The Faculty of Athens State University, the Faculty Senate of Athens State University shall transact the business of The Faculty.

**A. Membership.** The Senate shall consist of 12 regular voting members of The Faculty, including the presiding officer. Each College will elect four senators by secret ballot using the procedure specified in Paragraph B below. Senators serve a term of one year. The terms of office for senators commence on June 1.

**B. Election of Senators.** Early in January, the three members of the Faculty Elections Committee from each College will call for nominations for senators from the Faculty from their College. The members of the Faculty Elections Committee from each College will then conduct elections by secret ballot for four senators from the nominees from their College during the January College meetings. Nominees for the Senate must have been employed as full-time faculty members at Athens State for at least one academic year. (Note: for Colleges to have potential nominees for presiding officer senator-elects must be tenured faculty.) Names of the senators-elect must be submitted to the entire Faculty Elections Committee no later than February 1.

If for any reason a permanent vacancy occurs in the Senate membership, the three members of the Faculty Elections Committee from the College in which the vacancy occurs shall organize and conduct a special election within thirty days to fill the vacancy. A senator elected to fill a mid-term vacancy shall take office immediately and shall serve the remainder of the predecessor's term.

**C. Election of Officers.** Upon receipt of the list of senators-elect from the Colleges, three members (one from each College) of the Faculty Elections Committee will issue a call for nominations to the entire voting faculty for the position of presiding officer. Only full-time faculty members may submit nominations for the presiding officer position.

The three members of the Faculty Elections Committee will be responsible for verifying the list of nominees (i.e., ensure that nominees are tenured faculty and are willing to serve), and the list of nominees must be finalized no later than March 1.

The election for presiding officer will be conducted by the three members of the Faculty Elections Committee via secret signed or electronic ballot, and the election must be completed no later than April 1. The presiding officer shall be elected upon receiving a majority of votes cast in the election.

**D. Power of Proxy.** If for any reason a senator is to be absent from a Senate meeting, such senator is empowered to authorize a proxy to attend meetings and to vote on behalf of the absent senator. However, such authorization must be in writing and must be presented to the presiding officer of the Senate prior to the start of the Senate meeting. The proxy must be a regular voting member of The Faculty from the College of the absent senator.

**E. Meetings.** Prior to the first working day of the second month of each academic year, the Senate shall establish and distribute to The Faculty a meeting schedule (dates/times/places) of the Senate's regular meetings. Such regular meetings shall be held at least once per month during the nine-month academic year. Special meetings of the Senate may be called at the request of the presiding officer, or shall be called by the presiding officer upon receipt of a written petition which has been signed by at least seven members of the Senate. No regular or special meeting of the Senate shall be held unless members of The Faculty are given at least seven days notice of the meeting and its agenda via campus mailboxes.

The first order of business at a Senate meeting shall be a recorded roll-call tally of Senate membership; this tally shall be maintained by the recording secretary as the record of attendance by senators. A member of the Senate who, according to this tally, is absent from more than three regular meetings of the Senate during a term of office shall have vacated the office; the members of the Faculty Elections Committee from that senator's academic College shall be notified promptly of this vacancy by the presiding officer of the Senate.

**F. Voting.** The Senate shall transact business only if seven or more senators are present in the meeting room. On all matters before the Senate, a recorded roll-call vote shall be taken if requested by at least three senators in a timely manner; otherwise, viva voce voting is permitted. No secret or anonymous balloting shall be permitted under any circumstances. The presiding officer shall have an equal vote in all matters. The Senate's proceedings shall be conducted in accordance with Robert's Rules of Order unless altered or prohibited by the Faculty Constitution, these By-laws or a majority vote of the Senate. The Senate shall make efforts to record all proceedings by electronic device and written notations; these records shall be available to all members of The Faculty.

**G. Proposals.** A regular voting member of The Faculty and members of the Senate shall enjoy the right to sponsor and make proposals to the Senate at its meetings, provided such members of The Faculty and Senate adhere to the following guidelines:

1. a member shall give 10 days notice to the presiding officer of the Senate regarding the member's intentions about a given proposal except for resolutions that are exclusively an expression of congratulations or condolences,
2. a member shall not address the Senate for longer than five minutes about any one proposal without the unanimous consent of the senators present,

3. a member shall not introduce more than one proposal per Senate meeting,
4. only one member shall introduce and speak in support of a given proposal, and
5. a member must be present in person to make a proposal to the Senate.

All proposals before the Senate shall originate in the form of a typed resolution. The "whereas" section of the resolution shall contain the factual assertions and rationale for the proposed action; the "therefore" section shall contain the proposed action. The first page or cover sheet of the each resolution shall adhere to one of the formats prescribed in either Sample Form A or B following these By-laws. All such proposals shall contain the names and signatures of the faculty sponsor(s) of the resolution.

Immediately prior to the introduction of a resolution at a Senate meeting, a copy of the resolution shall be given to each member of the Senate and two copies shall be made available to the Senate's recording secretary. Immediately following the introduction of a resolution, the presiding officer shall assign the resolution to a committee for evaluation and recommendation. A resolution shall be assigned to a standing committee of The Faculty or to an ad hoc committee created by the Senate. However, a resolution shall not be assigned to a committee if the subject of the resolution is exclusively an expression of congratulations or condolences, or if a motion is made in a timely manner to suspend the requirement for committee review and this motion receives the affirmative votes of 10 senators. Resolutions not assigned to committee shall be considered immediately by the Senate.

Resolutions assigned to a committee for evaluation shall be reviewed by that committee within 45 days of introduction to the Senate and shall be reported to the full Senate with a recommendation for passage without change, a recommendation of passage with change, or a recommendation of non-approval. Failure by a committee to review and report a resolution to the Senate within 45 days of introduction shall permit consideration of the resolution by the Senate without committee evaluation, provided such consideration by the Senate is authorized by an affirmative vote of seven senators. Committee reports about proposals/resolutions shall be a fixed agenda item for all Senate meetings; such reports shall be made to the Senate by committee chairpersons or their designees.

The Senate may amend resolutions by the affirmative votes of seven senators, and may approve resolutions which relate exclusively to matters of congratulations or condolences if seven senators vote in the affirmative for the resolution. However, final approval of a resolution by the Senate shall require the affirmative votes of 10 senators if such resolution relates to matters other than expressions of congratulations or condolences.

Notwithstanding any rule to the contrary, seven senators may submit a resolution, which has had an opportunity for committee consideration, to a secret signed or electronic ballot vote among eligible Faculty or as an agenda item at the next meeting of The Faculty.

Resolutions approved by the Senate which meet the aforementioned criteria shall be considered an official expression of The Faculty of Athens State University. Such resolutions, after final approval, shall be submitted by the presiding officer of the Senate to appropriate University authorities and other relevant parties, and shall be made available for public inspection at the University library.

Notwithstanding any rule to the contrary, seven senators may call a special meeting of The Faculty, provided members of The Faculty are given at least seven days notice of this meeting and its agenda.

Resolutions which are submitted to the Senate for consideration on or after June 1 of every year shall receive final approval by the Senate or The Faculty by the following May 31, or shall have

been submitted for a secret signed or electronic ballot vote by the following May 31; otherwise the resolution must be resubmitted for reconsideration by the aforementioned processes.

**Sample Form A**

Page 1/Cover Sheet

RESOLUTION OF COMMENDATION (CONDOLENCE)

Date of Introduction: (Month/day/year):

Resolution Number: (Assigned by Recording Sec.):

Sponsor(s):

Sponsor(s) Signature(s):

Subject Matter of Resolution:

Senate Action (Date and Decision):

Administrative Action/Follow-Up:

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Page 2 and Subsequent Pages...

W       HEREAS .....

W       HEREAS .....

W       HEREAS .....

      NOW, THEREFORE BE IT RESOLVED BY THE FACULTY OF ATHENS STATE  
UNIVERSITY THAT:

.....

**Sample Form B**

Page 1/Cover Sheet

RESOLUTION RELATING TO INSTITUTIONAL GOVERNANCE

Date of Introduction: (Month/day/year):

Sponsor(s):

Sponsor(s) Signature(s):

Subject Matter of Resolution:

Resolution Number: (Assigned by Recording Sec.):

Committee Assignment: (Assigned by Presiding Officer):

Committee Recommendation:

Senate Action (Date and Decision):

Administrative Action/Follow-Up:

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Page 2 and Subsequent Pages...

W       HEREAS .....

W       HEREAS .....

W       HEREAS .....

NOW, THEREFORE BE IT RESOLVED BY THE FACULTY OF ATHENS STATE  
UNIVERSITY THAT: .....

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## 7.3 CURRICULUM REVIEW PROCESS

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(In March of 1993, the Faculty Curriculum Committee created and submitted for Faculty approval a process by which curricula may be modified or changed. This process was adopted via a secret ballot vote by the Faculty on April 12, 1993. The official margin of adoption was 36 aye, 3 nay.)

### Instructions for Requesting Curriculum Review

All curriculum changes at Athens State University are subject to the multidisciplinary review of the Curriculum Committee. Following the recommendation of the Southern Association of Colleges and Schools and with the support of the Vice President of Academic Affairs, the Faculty Senate has charged the committee with the responsibility to review the impact of curriculum changes on the institution. A recommendation for approval or non-approval is forwarded to the Vice President of Academic Affairs. The following instructions refer to the sections on the **Curriculum Review Form** (a sample of which follows) and will help to ensure that all needed information is submitted.

I. Curriculum requests are usually one of three types:

**Course Modification** - a change in a minor aspect of a course such as name, credit hours, some content revision, prerequisites, prefix, number, etc.

**Substantive Course Change** - adding or deleting a course from a program or a major content revision

**Substantive Program Change** - adding or deleting a total program or major changes in several courses in a curriculum (major) area

II. Name of course(s) affected (Title, Prefix, Number, etc.)

III. Statement of Action Requested - explain clearly and thoroughly the nature of the request. Add a syllabus for each course even when only a tentative one is available, as may be the case for substantive course or program changes. Additional pages of explanation may be provided as deemed necessary.

IV. Justification of Action Requested - check the factors that have been considered in making the request. (Not Applicable may be appropriate for some requests.) Sponsors should write a statement explaining why the request should be positively received. Feel free to add all appropriate documentation or extra pages of explanation. (See the example list below of some of the questions that should be answered.)

V. Actions Required to Implement Change - include equipment purchases, personnel requirements, catalogue page changes, etc.

The writer is responsible for seeing that the appropriate review is held at each level, Departmental and College, before the proposal is submitted to the Curriculum Committee. The review should include public discussion within the Department and the College. In addition to arranging for the reviews and acquiring the requested signatures, the writer should also be prepared to present the proposal in person to the Curriculum Committee.

## **Curriculum Review Procedure**

### **Process**

Order of submission of Curriculum Review Requests:

#### **Department → College → Curriculum Committee**

- ◆ Curriculum Committee then serves in an advisory capacity to the Vice President of Academic Affairs and in an informational capacity to the Faculty.
- ◆ Communication about curriculum changes will be reported at Faculty Senate meetings and minutes of Curriculum Committee minutes will be made available to all faculty members.
- ◆ Appeal process - curriculum requests that are rejected at any point in the process may be re-submitted.
- ◆ Curriculum Review Deadlines:  
Substantive Program Change - October 1  
Course Modification or Substantive Change - October 1 / April 1
- ◆ The Vice President of Academic Affairs will take and document appropriate steps to implement the approved change.

### **Committee Structure**

- Service on the Curriculum Committee is voluntary.
- In the event that committee membership is not representative of all Colleges, the Presiding Officer of the Faculty will be empowered to request representatives from those Colleges not represented.
- Committee should be no larger than twelve members.
- In the event that more than twelve faculty members volunteer to serve on the committee, the Presiding Officer of the Faculty will be empowered to allocate four slots per College and to ask the volunteer faculty members to align themselves accordingly.

#### **Curriculum Review Request (continued)**

**Questions Concerning Curriculum Changes** – The following represent some examples of questions that should be addressed by the supporting documentation in a Curriculum Review Request.

1. Who can teach the course(s)?
2. When will the course(s) be taught?
3. What is the amount of money needed to establish course(s)?
4. Will the content of the course(s) conflict with current Athens State University course offerings?
5. How will the course(s) help the students in the particular program and/or College?

**NOTE:**

**Policies and procedures included in this handbook that are not in accord with the policies of the Alabama State Board of Education or the laws of the State of Alabama are void.**

4/01/09