

# TABLE OF CONTENTS

## CHAPTER ONE

|  | Page |
|--|------|
| <b>THE UNIVERSITY</b>                                      |      |
| Background.....  | 1    |
| General Governance .....                                   | 1    |
| <b>UNIVERSITY ADMINISTRATION</b>                           |      |
| The Office of the President.....                           | 1    |
| Scope of the Office .....                                  | 2    |
| Faculty Relations with the Administration .....            | 2    |
| University Planning, Assessment, and EEO Office.....       | 2    |
| Institutional Research.....                                | 2    |
| Internal Audit.....  | 2    |
| The Provost and Vice President for Academic Affairs.....   | 2    |
| Dean of Graduate Studies and Research .....                | 2    |
| Research and Sponsored Programs .....                      | 2    |
| University Planning, Assessment and EEO .....              | 2    |
| Institutional Research.....                                | 3    |
| Information Systems .....                                  | 3    |
| Executive Director of the Leesville Center.....            | 3    |
| Executive Director of the CENLA Center .....               | 3    |
| The College Dean .....                                     | 3    |
| The Department Head/Coordinator.....                       | 4    |
| Electronic and Continuing Education .....                  | 4    |
| Registrar.....   | 4    |
| Director of Libraries .....                                | 4    |
| The Vice President for University Affairs.....             | 4    |
| Environmental Health and Safety .....                      | 4    |
| Physical Plant.....  | 4    |
| University Plant Services.....                             | 5    |
| The Vice President for Student Affairs.....                | 5    |
| Student Activities.....                                    | 5    |
| Student Services.....                                      | 5    |
| Public Safety and Transportation.....                      | 5    |
| Enrollment Services .....                                  | 5    |
| Recreation Complex.....                                    | 6    |
| The Vice President for External Affairs .....              | 6    |
| Intercollegiate Athletics .....                            | 6    |
| University Printing.....                                   | 6    |
| NSU Press and Publications .....                           | 6    |
| Athletic Compliance and Special Services .....             | 6    |
| Informational Services .....                               | 6    |
| Athletic Fund Raising .....                                | 6    |
| Alumni Affairs .....                                       | 6    |
| Institutional Advancement.....                             | 6    |
| The Vice President for Business Affairs & Controller ..... | 7    |

|                       |   |
|-----------------------|---|
| Purchasing.....       | 7 |
| Human Resources ..... | 7 |

## **COMMITTEE & COUNCIL SYSTEM**

|  |    |
|--|----|
| General Operating Procedures .....                     | 7  |
| Chair Selection.....                                   | 7  |
| Minutes .....  | 7  |
| Quorum .....   | 8  |
| Timelines for Elections and Appointments.....          | 8  |
| Attendance .....                                       | 8  |
| Appointment of Faculty Representatives.....            | 8  |
| Appointment of Student Representatives.....            | 8  |
| Subcommittees .....                                    | 8  |
| Reports.....   | 8  |
| Modifications .....                                    | 8  |
| Academic Colleges .....                                | 9  |
| University Standing Committees & Councils .....        | 9  |
| Academic Council.....                                  | 9  |
| Admissions, Credits, and Graduation Council.....       | 9  |
| Registration Committee .....                           | 9  |
| Commencement Committee.....                            | 9  |
| Calendar Committee .....                               | 10 |
| Grade Appeals Committee.....                           | 10 |
| Academic Suspension Appeals Committee.....             | 11 |
| Athletic Council.....                                  | 11 |
| Early Registration Cancellation, etc., Committee ..... | 11 |
| Committee on Organizations .....                       | 12 |
| Who’s Who Selection Committee.....                     | 12 |
| Academic Affairs Council .....                         | 12 |
| Curriculum Review Council .....                        | 13 |
| Discipline Committee .....                             | 13 |
| Facilities Council .....                               | 14 |
| Faculty Recognition Council .....                      | 14 |
| Faculty Standards Committee .....                      | 14 |
| General Studies Council .....                          | 14 |
| Graduate Council.....                                  | 14 |
| Human Subjects Institutional Review Board .....        | 15 |
| Institutional Animal Care and Use Committee .....      | 15 |
| Grievance Committee .....                              | 16 |
| Human Relations Council.....                           | 16 |
| Information Technology Advisory Council .....          | 17 |
| Institutional Effectiveness Committee.....             | 18 |
| Library Council.....                                   | 18 |
| Parking & Traffic Committee .....                      | 18 |
| Traffic Appeals Committee.....                         | 18 |
| Promotions Committee .....                             | 18 |
| Research Council .....                                 | 18 |
| Student Media Committee .....                          | 18 |
| Teacher Education Council (TEC).....                   | 19 |
| University-Wide Benefits Committee.....                | 19 |
| Shared Sick Leave Committee.....                       | 19 |
| College Committees .....                               | 20 |
| Academic Councils .....                                | 20 |
| Departmental/College Committees .....                  | 20 |
| Promotion and Tenure Committee .....                   | 20 |

|   |    |
|---|----|
| Faculty Screening Committee .....       | 21 |
| Faculty Senate Standing Committees..... | 21 |
| Executive Committee .....               | 21 |
| Committee on Committees.....            | 22 |
| Faculty Standards Committee .....       | 22 |

## **FACULTY SENATE**

|                                |    |
|--------------------------------|----|
| Preface .....                  | 23 |
| Constitution and By-Laws ..... | 23 |

## **CHAPTER TWO**

### **FACULTY PERSONNEL POLICIES**

|   |    |
|---|----|
| Nondiscriminatory Policy .....                                    | 27 |
| Affirmative Action Policy .....                                   | 27 |
| Affirmative Action Plan .....                                     | 28 |
| Northwestern State University's Policy on Sexual Harassment ..... | 28 |
| Definition.....   | 29 |
| Policy Statement Regarding Alcohol & Drugs.....                   | 29 |
| Policy on Smoking .....   | 30 |
| Relationships Between Faculty/Staff and Students .....            | 30 |
| Academic Freedom and Responsibility .....                         | 31 |
| Academic Freedom.....   | 31 |
| Academic Responsibility .....                                     | 31 |
| Professional Ethics .....   | 32 |
| Initial Review of Applicants.....                                 | 32 |
| Letters of Employment .....                                       | 32 |
| Conditions of Employment for Faculty .....                        | 33 |
| Selective Service Registration .....                              | 34 |
| Employment Contract Information.....                              | 34 |
| Types of Contracts .....  | 34 |
| Definitions of Appointment Terms.....                             | 35 |
| Duration of Appointments .....                                    | 35 |
| Full-Time Faculty Appointments.....                               | 36 |
| Part-Time Faculty Appointments.....                               | 36 |
| Term Appointments .....   | 36 |
| Probationary Appointments /Tenure Track .....                     | 36 |
| Tenure Appointments .....   | 36 |
| Extra Services Contracts.....                                     | 36 |
| Administrative Appointments.....                                  | 36 |
| Prescribed Procedures for Entering of Exiting Employment.....     | 36 |
| Nepotism.....   | 37 |
| S 1119 Nepotism.....  | 37 |
| S 1102 Definitions .....  | 37 |

### **ACADEMIC FACULTY**

|                               |    |
|-------------------------------|----|
| Administrative Faculty .....  | 38 |
| Ranked Academic Faculty ..... | 38 |
| Instructor.....               | 38 |
| Assistant Professor.....      | 38 |
| Associate Professor.....      | 38 |
| Professor .....               | 39 |
| Endowed Professor .....       | 39 |
| Special Status Faculty .....  | 40 |
| Lecturer40                    |    |

|   |    |
|---|----|
| Adjunct Faculty                                   | 40 |
| Visiting Faculty .....                            | 40 |
| Faculty/Research Associate .....                  | 41 |
| Faculty-in-Residence .....                        | 41 |
| Emeritus Titles .....                             | 41 |
| Affiliate .....                                   | 41 |
| Graduate Faculty.....                             | 42 |
| Criteria for Graduate Faculty Membership .....    | 42 |
| Qualifications .....                              | 42 |
| Performance .....                                 | 42 |
| Procedure for Attaining Membership .....          | 44 |
| Application.....                                  | 44 |
| Approval .....                                    | 44 |
| Continuance .....                                 | 44 |
| Categories of Graduate Faculty Membership .....   | 45 |
| Member Status .....                               | 45 |
| Associate Member Status.....                      | 45 |
| Limited Status .....                              | 46 |
| Adjunct Status.....                               | 46 |
| Temporary Status .....                            | 47 |
| Incentives and Support for Graduate Faculty ..... | 47 |
| Incentives .....                                  | 47 |
| Support.....                                      | 47 |

## **COMPENSATION**

|   |    |
|---|----|
| Pay Schedule.....                                       | 47 |
| Additional Compensation through the University .....    | 48 |
| Educational Opportunities .....                         | 48 |
| Fee Exemption for Faculty, Staff, and Dependents .....  | 49 |
| Unemployment Compensation .....                         | 49 |
| Gifts and Favors.....                                   | 49 |
| Season Tickets .....                                    | 50 |
| Outside Employment .....                                | 50 |
| Prohibited Transactions and Contractual Agreements..... | 52 |
| Faculty-Authored Textbooks .....                        | 53 |
| Seeking and Holding Public Office .....                 | 53 |
| Dual Office holding and Dual Employment .....           | 53 |

## **FACULTY EVALUATION**.....54

|  |    |
|--|----|
| Criteria for Merit, Retention, Tenure and Promotion .....          | 55 |
| Teaching Effectiveness .....                                       | 55 |
| Scholarly and Professional Activities .....                        | 56 |
| University and Public Service.....                                 | 57 |
| Evaluation Procedure .....   | 58 |
| Merit .....  | 58 |
| Appeals Process for Annual Evaluation & Merit Recommendations..... | 59 |
| Retention and Tenure .....   | 59 |
| Promotion .....  | 60 |
| Minimum Criteria for Promotion in Rank .....                       | 61 |
| Instructor.....  | 61 |
| Assistant Professor.....   | 61 |
| Associate Professor.....   | 61 |
| Professor .....  | 61 |
| Levels of Rank .....   | 62 |
| Procedure for Application for Promotion in Rank.....               | 62 |

|  |    |
|--|----|
| Part I .....   | 62 |
| Part II .....  | 64 |
| Calendar of Events in the Promotion Process .....                          | 65 |
| Rank Distribution .....  | 67 |
| Schedule for Faculty Evaluation.....                                       | 67 |
| Evaluation of Department Heads/Coordinators .....                          | 67 |
| Evaluation of College Deans .....  | 67 |
| <b>NONRENEWAL AND TERMINATION</b> .....                                    | 67 |
| Non-Tenured Faculty with the Rank of                                       |    |
| Instructor (on continuing appointment) or Above .....                      | 67 |
| Tenured Faculty .....  | 68 |
| Post-Tenure Review .....   | 69 |
| <b>PERSONNEL RECORDS</b> .....   | 72 |
| Record Maintenance .....   | 72 |
| Business Affairs-Human Resources Section .....                             | 72 |
| College Dean .....   | 72 |
| Director, Department Head/Coordinator .....                                | 72 |
| EEO/AA Officer .....   | 72 |
| Access to Records.....   | 73 |
| <b>ATTENDANCE AND LEAVE RECORDS</b> .....                                  | 73 |
| Normal Business Hours and Work Day.....                                    | 73 |
| Work Schedules .....   | 73 |
| Holidays and Closures .....  | 75 |
| Flexible Work Schedule .....   | 75 |
| Unclassified Staff Attendance and Leave .....                              | 76 |
| Definitions .....  | 76 |
| Work Weeks, Attendance, and Leave Records for Unclassified Employees ..... | 76 |
| Daily Attendance and Leave Records.....                                    | 77 |
| Faculty Leave for Employees on Other Than 12-Month Basis .....             | 77 |
| Annual Leave for Unclassified Staff .....                                  | 77 |
| Sick Leave for All Unclassified Employees .....                            | 78 |
| Compensatory Leave for Unclassified (Annual Leave Earning) Staff .....     | 80 |
| Faculty and Unclassified Staff Leaves of Absence .....                     | 82 |
| Leave for Civil and National Service .....                                 | 84 |
| Military Leave .....   | 84 |
| Other Leave .....  | 84 |
| Workmen's Compensation Payments .....                                      | 84 |
| Bereavement .....  | 85 |
| Personal Emergencies .....   | 88 |
| Family and Medical Leave.....  | 88 |
| Shared Sick Leave .....  | 88 |
| Emergency Absences.....  | 88 |
| <b>GRIEVANCE PROCEDURE</b> .....   | 85 |
| The Grievance Committee .....  | 86 |
| Appeal .....   | 88 |
| <b>FINANCIAL EXIGENCY</b> .....  | 88 |
| Staff Reduction .....  | 88 |
| Board Policy on Financial Exigency .....                                   | 89 |
| Definition of Financial Exigency.....                                      | 89 |
| Board of Supervisors for the University of                                 |    |

|   |           |
|---|-----------|
| Louisiana System Action .....   | 89        |
| Implementation of Declaration of Financial Exigency .....             | 89        |
| Approval Required.....  | 90        |
| Termination of Financial Exigency .....                               | 91        |
| Emergency Procedure.....  | 91        |
| Appeal .....  | 91        |
| Financial Exigency Procedural Policy.....                             | 91        |
| Definitions .....   | 93        |
| Teaching Discipline .....   | 93        |
| Specialty within a Teaching Discipline .....                          | 93        |
| <b>INTELLECTUAL PROPERTY AND SHARED ROYALTIES .....</b>               | <b>94</b> |
| <b>TRAVEL POLICY .....</b>  | <b>94</b> |
| <b>POLICY ON USE OF FACILITIES, EQUIPMENT OR PROPERTY .....</b>       | <b>95</b> |
| General .....   | 95        |
| Vehicles .....  | 95        |
| Requirements for Drivers.....   | 95        |
| <b>IDENTIFICATION CARDS .....</b>                                     | <b>95</b> |
| <b>CREDIT UNION FOR NORTHWESTERN STATE UNIVERSITY EMPLOYEES .....</b> | <b>96</b> |
| <b>VEHICLE REGISTRATION.....</b>                                      | <b>96</b> |
| <b>MEDICAL EMERGENCIES .....</b>                                      | <b>96</b> |

### **CHAPTER THREE**

|   |            |
|---|------------|
| <b>POLICIES PERTAINING TO INSTRUCTION.....</b>                  | <b>98</b>  |
| Class Attendance Regulations .....                              | 98         |
| Commencement .....  | 98         |
| Class Attendance for Faculty.....                               | 98         |
| Advising of Students and Office Hours.....                      | 98         |
| Grading System .....  | 98         |
| Cheating.....   | 98         |
| Grade Appeal Procedure.....                                     | 100        |
| Grade Change Procedure .....                                    | 100        |
| Semester Examinations and Grade Reporting .....                 | 100        |
| Eugene P. Watson Memorial Library .....                         | 100        |
| Information Systems .....                                       | 100        |
| Textbook Policies .....   | 100        |
| <b>STUDENT SERVICES .....</b>                                   | <b>100</b> |
| Access to and Utilization of Student Records (Privacy Act)..... | 101        |
| Types of Records .....  | 101        |
| Instructors .....   | 102        |
| Deans .....   | 102        |
| Academic Advisors.....  | 102        |
| Vice President of Student Affairs .....                         | 102        |
| Student Infirmary .....   | 102        |
| Registrar.....  | 102        |
| Financial Aid Office .....                                      | 102        |

|                                     |     |
|-------------------------------------|-----|
| The Housing Office .....            | 103 |
| Career Planning and Placement ..... | 103 |
| Testing Center .....                | 103 |
| Student Records Appeal .....        | 103 |

## **CHAPTER FOUR**

|   |     |
|---|-----|
| <b>RESEARCH AND SPONSORED PROGRAMS</b> .....                    | 105 |
| Sponsored Projects .....  | 105 |
| University Research Program .....                               | 105 |
| Research Involving Human Subjects .....                         | 105 |
| Committee on the Protection of Human Subjects in Research ..... | 106 |
| General Requirements of Informed Consent .....                  | 107 |
| Documentation of Informed Consent .....                         | 108 |

## **A P P E N D I C E S**

|  |
|--|
| Appendix A – Classroom Visitation Appraisal                                |
| Appendix B – Evaluation of Administrative Personnel                        |
| Appendix C – Faculty Activity Report                                       |
| Appendix D – Map of the University   |
| Appendix E – Organizational Chart  |
| Appendix F – Other University Manuals and Publications                     |
| Appendix G – Promotion Evaluation Form                                     |
| Appendix H – Script of Grievance Hearing                                   |
| Appendix I – Student Appraisal of Academic Advising                        |
| Appendix J – Student Survey of Instruction                                 |
| Appendix K – Procedures for the Resolution of Sexual Harassment Complaints |
| Appendix L – Northwestern State University Policy on Alcohol and Drugs     |
| Appendix M – Board Rules on Intellectual Property and Shared Royalties     |
| Appendix N – Checklist of Items for Promotion Application                  |
| Appendix O – Shared Sick Leave Policy                                      |

Policy changes at Northwestern State University can come from three sources:

1. Policy changes initiated by the statute or rule from the State of Louisiana, the Board of Regents, or the Board of Trustees
2. Policy changes that are the result of activities by the policy-making bodies of the university;
3. Informational changes that do not need to be cleared with the policy-making bodies (office procedural practices, for instance).

Policy changes of the first kind, those brought about by mandates outside the University, shall initiate an immediate change in the Handbook. Faculty and staff may be apprised of these changes through memos or other official documents before there is a Handbook revision. Changes of the second group, those resulting in changes made by policy-making bodies of the University, shall go into effect with the first new contract period following a Handbook revision. Individuals who are interested in having changes made to the handbook should consult with the proper policy-making body or should contact the coordinator of Academic Affairs in the office of the Vice President for Academic Affairs for information about initiating changes.

It is the responsibility of the various policy-making bodies to inform the Coordinator of Academic Affairs of any changes in policy that could result in Handbook revisions. It will be the responsibility of the coordinator of academic affairs, as far as is possible, to keep abreast of changes or potential changes from all sources and to advise the Faculty Standards Committee each year of the need for Handbook revisions.

Official, complete, and up-to-date version of the Faculty Handbook will be available through the office of the Vice President for Academic Affairs. A partial list of other manuals and publications available at Northwestern State University is provided in Appendix F of this Handbook.



## CHAPTER ONE

### THE UNIVERSITY

#### **Background**

Refer to the most recent issue of the Northwestern State University General Catalog for an overview of the history of NSU, its location, its mission, and its accreditation.

#### **General Governance**

Under the 1974 Constitution of the State of Louisiana, the Board of Regents was created to plan, coordinate, and have budgetary responsibility for all public higher education. The Board of Supervisors for the University of Louisiana System was established as the managing board with direct jurisdiction over Northwestern State University. The President of the University is appointed by the Board of Supervisors and is directly responsible to it for administering the University.

Copies of documents (such as the [Rules for Board of Supervisors for the University of Louisiana System](#)) that pertain to the general governance described above are available at the Northwestern State University Library.

### UNIVERSITY ADMINISTRATION

The Appendix section of this Faculty Handbook contains a diagram of the organizational chart applicable to Northwestern State University. (**Appendix E**)

#### **The Office of the President**

The President, the chief executive officer of the University, is empowered to perform all actions to make effective the policies of the University of Louisiana System. The President is charged with the overall responsibility for the organization and administration of the University in accordance with the authority vested in the President by the Board of Supervisors for the University of Louisiana System.

#### *Scope of the Office*

The President appoints and employs University personnel in accordance with applicable state law and Board of Supervisors for the University of Louisiana System policy, subject to the recommendation of the president or chief administrative officer of the System and approval of the Board of Supervisors for the University of Louisiana System. In practice, the President relies upon various administrative officers and faculty bodies to recommend policies and procedures, but retains the authority to administer the University in accordance with provisions of applicable state law and policies of the Board of Supervisors for the University of Louisiana System.

#### *Faculty Relations with the Administration*

The University President maintains an "open door" policy and, along with the President's staff, is readily available to the faculty and student body.

So that the University as a whole may operate efficiently and function properly, specific channels of communication and organizational structure have been established. Under this system faculty members report directly to their respective Department

Heads/Directors and through them up the organizational structure from Department Head/Director to the Dean of the Department's College and to the Vice President for Academic Affairs to the President.

### ***Internal Audit***

The Accounting and Internal Staff Auditing office conducts audits for a variety of programs. These audits ensure the legitimate use of funds and determine compliance with applicable rules, regulations, and laws. The Accounting and Internal Staff Auditing office reports to the President.

### **The Provost and Vice President for Academic Affairs**

The Provost and Vice President for Academic Affairs, (henceforth called the Vice President for Academic Affairs in this document), the ranking academic officer of the University reporting to the President, acts as the chief administrative officer in the President's absence. The Vice President for Academic Affairs directs and administers all operations and activities of the academic colleges, departments, and academic support areas and chairs the Curriculum Review Council.

### ***Dean of Graduate Studies and Research***

The Dean of Graduate Studies and Research provides leadership in developing graduate academic programs and promoting high standards of teaching, scholarship, and service. The Dean normally teaches 3 hours per semester. The Dean is under the supervision of the Vice President for Academic Affairs and chairs the Graduate Council.

### **Research and Sponsored Programs**

The Director of Research and Sponsored Programs identifies extramural funding opportunities, conducts workshops in proposal writing for faculty and staff, and facilitates the preparation of grant proposals. The Director functions under the supervision of the Dean of Graduate Studies and Research.

### **University Planning, Assessment, and EEO Office**

The University Planning, Assessment and EEO Office facilitates the University's planning and educational assessment initiatives. The office provides assistance in the strategic planning process initiated by the President. Guidance is provided to the work of the Institutional Effectiveness Committee and the University Core Committee. A major responsibility of this office is directing educational assessment activities. This includes the coordinating, analysis, and dissemination of findings related to CAAP (Collegiate Assessment of Academic Proficiency), Major Field Tests, and Exit Interviews.

This office is also responsible for developing and maintaining the necessary programs, records, and reports to comply with all government regulations related to Equal Opportunity and Affirmative Action.

The Director of University Planning, Assessment, and EEO reports to the Dean of Graduate Studies and Research..

### **Institutional Research**

The Director of Institutional Research reports to the Director of University Planning, Assessment, and EEO. The Office of Institutional Research is responsible for performing and assisting in the areas of data exchange, accountability reporting, analytical studies, and planning, and oversees the collection, compilation, and reporting of student evaluations of instruction data.

### ***Information Systems***

The Director of Information Systems is responsible for supervising overall administrative and academic computing resources on the University campuses. The Director works under the supervision of the Vice President of Academic Affairs.

### ***Executive Director of the Leesville Center***

The Executive Director of the Leesville Center is the principal administrator of the Leesville/Fort Polk campus and functions under the supervision of the Vice President for Academic Affairs.

### ***Executive Director of the CENLA Center***

The Executive Director of the CENLA Center is the principal administrator of the CENLA Center and functions under the supervision of the Vice President for Academic Affairs.

### ***The College Dean***

The College Dean is the academic leader of the College. In the Louisiana Scholars' College, the Director serves in the same capacity as Deans in other colleges. Henceforth, the term "Dean" will apply to college Deans and the Director of the Louisiana Scholars' College. Deans collaborate with Department Heads in the development of programs that are most suited to meeting student and academic needs. The College Dean is responsible overseeing the supervision and evaluation for tenure, retention, promotion and merit of all faculty members by the Department Heads/Coordinators under his/her supervision. Mentoring of students and coordination of policy issues concerning student degree programs and compliance with University policy are also important responsibilities of the College Dean. The College Dean manages College resources for the attainment of College and University objectives and allocates budgets to the departments in the College. The College Dean is responsible for approving the assignment of faculty workloads, including teaching and academic advising; supervises the management of departmental resources by Department Heads/ for the attainment of departmental and University objectives; supervises the allocation and management of departmental budgets by Department Heads; and approves course offerings and time schedules. Teaching at the graduate or undergraduate level is required of College Deans; College Deans normally teach 3 hours per semester. College Deans report to the Vice President for Academic Affairs.

### **The Department Head/Director**

The Department Head/Director is the academic leader of the department and collaborates with the faculty in the development of programs that are most suited in meeting student and academic needs. In colleges without departments, the Dean assumes the responsibilities of the Department Heads. The Department Head is responsible for mentoring of junior faculty, and is responsible for supervising and evaluating all faculty members under his/her supervision for tenure, retention, promotion, and merit. Mentoring of students is also an important responsibility of the Department Head. The Department Head is responsible for the assignment of faculty workloads, including teaching and academic advising; manages departmental resources for the attainment of departmental and University objectives; allocates the departmental budget; and determines course offerings and time schedules. Teaching at the graduate or undergraduate level is required of Department Heads; Department Heads normally teach 6 hours per semester. Department Heads report to the Dean of the College of which the department is a part.

### ***Director of Electronic and Continuing Education***

The Director of Electronic and Continuing Education, who is the principal administrator of all non-credit programs and all off-campus instructional programs at nonresidential centers, functions under the supervision of the Vice President for Academic Affairs.

### ***Registrar***

The Registrar, who reports to the Vice President for Academic Affairs, is the principal administrator of academic records and registration, and chairs the Council for Admissions, Credits and Graduation. The Registrar receives and evaluates applications for admission and transcripts, and determines eligibility for admissions.

### ***Director of Libraries***

The Director of Libraries is the principal administrator of library operations and activities, including Watson Library and the Cammie G. Henry Research Center on the Natchitoches campus, and branch libraries at the Shreveport Nursing Education Center and at NSU's Leesville/Fort Polk campus. The Director functions under the supervision of the Vice President for Academic Affairs and chairs the Library Council.

## **The Vice President for University Affairs**

The Vice President for University Affairs provides direction for the physical growth of the University and coordinates the future development of physical facilities.

### ***Environmental Health and Safety***

#### ***Physical Plant***

The Director of the Physical Plant, who is responsible for the maintenance of the buildings and vehicles for the University, directs a staff of carpenters, electricians,

plumbers, air conditioning and heating mechanics, painters, auto mechanics, maintenance repairmen and laborers.

### ***University Plant Services***

The Director of University Plant Services, who reports to the Vice President for University Affairs, is responsible for the central receiving and storage of University supplies; monitors custodial services; and also maintains and monitors University inventory.

### **The Vice President for Student Affairs**

The Vice President for Student Affairs, who reports to the University President, is the chief student affairs officer and is responsible for policy development and the direction and supervision of a variety of student-related programs, services, activities and functions outside the classroom, in addition to campus safety and security.

### ***Student Activities and Organizations***

The Director of Student Activities and Organizations coordinates student organization recognition, provides advisement and guidance to the Student Government Association (SGA) and Student Activities Board (SAB), serves as director of the Friedman Student Union, manages the University calendar, and coordinates campus-wide facility use; provides leadership for the offices of Intramurals and Recreational Sports, Greek Life and Leadership Development, and Student Activities. The Director of Student Activities works under the supervision of the Vice President for Student Affairs.

### ***Student Services***

The Director of Student Services provides leadership for policy development and direction and supervision for student services offered in the offices of Auxiliary Services (bookstore services, food services, on-campus apartment complex, postal services, vending services, and other contracted services); Counseling and Career Services; Health Services and Student Insurance; Residence Hall and Married Student Housing Administration; and Testing and Assessment; coordination of student judicial affairs. The Director of Student Services reports to the Vice President for Student Affairs.

### ***Public Safety and Transportation***

The Chief of Police manages the University Police Department and is responsible for policy development and the direction and supervision of vehicle registration, ticket management, parking, safety and security, and the motor pool. The Chief of Police reports to the Vice President for Student Affairs

### ***Director of Enrollment Services***

The Director of Enrollment Services, who reports to the Vice President for Student Affairs, develops and implements activities and programs for accomplishment of enrollment goals of the University and provides leadership for the offices of Admissions and Recruiting, New Student Programs, and Student Financial Aid and Scholarships.

### ***Recreation Complex***

#### **The Vice President for External Affairs**

The Vice President for External Affairs is responsible for planning, coordinating, and implementing public relations, intercollegiate athletic programs, alumni affairs, informational services, and fund-raising programs that support the total objectives of the University.

#### ***Intercollegiate Athletics***

The Athletic Director, who reports to the Vice President for External Affairs, administers all aspects of all men's and women's intercollegiate sports programs at the University and is the University's primary liaison with the NCAA, the Southland conference, and other organizations with which the Athletic Department is affiliated.

#### ***University Printing***

The Director of University Printing administers all printing and related services of the University's printing center. The Director reports to the Vice President for External Affairs

#### ***NSU Press and Publications***

#### ***Athletic Compliance and Special Services***

#### ***Informational Services***

The Director of Informational Services is responsible for the dissemination of information to the media, University publications, University-media relations, sports information, NSU Press activities, University photographic services and other publicity, marketing, promotional and public relations programs as assigned by the Vice President for External Affairs.

#### ***Athletic Fund Raising***

#### ***Alumni Affairs***

The Director of Alumni Affairs, who serves as liaison between the University and its alumni, works with the NSU Alumni Association to coordinate, plan and execute various alumni chapter activities and major events involving alumni of the University. The Director is also responsible for administering Alumni Association funds and special programs and projects. The Alumni Director reports to the Vice President for External Affairs.

#### ***Institutional Advancement***

The Director of Institutional Advancement is principally responsible for acquiring private funding for the University through solicitation of contributions from alumni, business, industry and other individuals and organizations. The Director of Institutional Advancement, who reports to the Vice President for External Affairs, is the liaison between the University and the NSU Foundation Board of Directors.

**The Vice President for Business Affairs & Controller**

The principal administrator of the University's business activities and financial affairs, the Vice President for Business Affairs & Controller functions under the supervision of the President. The Vice President for Business Affairs & Controller is responsible for the direction and supervision of the university's purchasing, human resources, personnel, accounting, budget, financial systems, student accounting, cashiering, and audit functions.

***Purchasing***

The Director of Purchasing is the principal administrator responsible to the Vice President for Business Affairs & Controller for administering the procurement of equipment, supplies and services.

***Human Resources***

The Director of Human Resources is principal administrator responsible to the Vice President for Business Affairs & Controller for coordinating institutional human resources, personnel policies and practices for staff and faculty.

**COMMITTEE & COUNCIL SYSTEM**

Governance is the shared responsibility of all members of the University Community. To fulfill this responsibility, faculty, staff, and administration agree to establish collaborative bodies known as University Standing committees and councils, which are charged to perform specific governance duties requiring faculty, staff, administrative, and student involvement as well as conducting other University activities. The faculty will also establish its own governance bodies known as Faculty Senate Standing Committees. Student Standing Committees many times also include faculty, staff, and administrative participation; a list of these committees is in the Student Handbook.

**General Operating Procedures*****Chair Selection***

Except as otherwise noted herein, each committee shall choose from its membership a chair at its first regularly scheduled meeting but, in all cases, no later than September 15 of each year. The administrator to whom a University Standing Committee reports shall call the first meeting of a committee for the purpose of electing a chair and setting a first agenda. Dates for meetings during the year should be decided upon and disseminated at the initial meeting; any modifications to the set schedule should entail a minimum of seven (7) days notice.

***Minutes***

Each committee shall keep minutes of each meeting and shall disseminate those minutes expeditiously (normally within five working days, but not to exceed one week prior to the next meeting). Minutes shall be provided to all members of the committee, the administrator or group to whom the committee reports, the Office of the President, the Office of the Vice President for Academic Affairs, and the Faculty Senate President.

***Quorum***

Presence of a majority of the voting members of a committee shall constitute a quorum.

***Timelines for Elections and Appointments***

Nominations by the committee on committees shall be completed before May 1 each year. Faculty shall be appointed to committees by appointing officers before the end of the spring semester each year. Faculty, staff, and administrative representatives to a committee, unless otherwise specified, shall be elected/selected for two-year (24 months) terms. The terms of faculty representatives to each committee shall be staggered so one-half of the membership is selected each year.

***Attendance***

Any appointed member absent two times during the academic year who is not represented by proxy shall be removed from the council/committee.

***Appointment of Faculty Representatives***

Except where noted, faculty members will be appointed by the President of the University from nominations submitted by the Committee on Committees. Some committees require special expertise and credentials; the nominations will reflect appropriate qualifications.

***Appointment of Student Representatives***

Undergraduate student members shall be nominated by the Student Government Association (SGA) President and appointed by the President of the University to serve one-year terms corresponding to student officer terms. Graduate student members shall be selected by the Graduate Council from nominations submitted by the departments.

***Subcommittees***

Each committee shall have the authority to form subcommittees and/or ad hoc committees for the purposes contained in the charge to that committee and to invite other members of the University community to meet with the committee.

***Reports***

In addition to maintaining and distributing minutes, each committee shall submit its recommendations and actions in writing to the University administrator to whom it reports. If the committee reports to the Faculty Senate, the recommendations must be submitted at least ten (10) working days before the next scheduled senate meeting. The University administrator to whom a committee reports shall respond to that committee expeditiously or within a time mutually agreed upon by the committee and the administrator.

***Modifications***

Any modification to these General Operating Procedures shall be mutually agreed upon by the President of the University and the President of the Faculty Senate.



***Academic Colleges***

The Academic Colleges for purposes of committee appointments shall be the College of Science and Technology, College of Business, College of Education, College of Nursing, College of Liberal Arts, and the Louisiana Scholars' College.

**University Standing Committees & Councils*****Admissions, Credits, and Graduation Council***

Purpose: Responsible for the determination and application of and exceptions to undergraduate academic policies and procedures. This council also makes final decisions on student grade appeals.

Reports to: Vice President for Academic Affairs through the Registrar

Membership: 19

- University Registrar (Chair)
- Vice President for Student Affairs, appointed by the President
- Department Heads or representatives from each college, appointed by Deans

***Subcommittee of Committee of Admissions, Credits, & Graduation Council: Registration Committee.***

Purpose: Working committee, convened as needed by Registrar, which outlines pre-registration and registration procedures to be followed during each registration period.

Reports to: President

Membership: 17

- University Registrar (Chair)
- Vice President for Academic Affairs
- Vice President for Student Affairs
- Vice President for Business Affairs
- Two Assistant Registrars
- Three staff appointed by Vice President for Business Affairs
- Four staff appointed by Vice President for Student Affairs
- SGA President
- Representative from Shreveport Nursing
- Representative from Fort Polk
- Representative from England Air Park

***Subcommittee of Committee of Admissions, Credits, & Graduate Council: Commencement Committee.***

Purpose: responsible for the planning and management of graduation ceremonies including speakers, programs, receptions, decorations, and music.

Reports to: Vice President for Academic Affairs

Membership: 12

- University Registrar (Chair)

- Vice President for Academic Affairs
- College Deans, including the University College and Graduate School
- Director of Louisiana Scholars' College
- Director of Alumni Affairs
- Music Coordinator

**Subcommittee of Committee of Admissions, Credits, & Graduation Council: Calendar Committee**

Purpose: Plans and disseminates the five (5) year calendar, including pre-registration and registration dates, class, holiday, and final examination schedules; duties include minor modifications of the calendar on a timely basis.

Reports to: President

Membership: 16

- Registrar (chair)
- Vice President for Student Affairs
- One representative from Business Affairs
- Three faculty members, appointed by the Committee on Committees
- Student Government Association (SGA) President
- Vice President of the Faculty Senate
- Coordinator of Field Experiences, College of Education
- Director of Financial Aid
- Director of Auxiliary Services
- Director of Academic Services
- Director of Enrollment Services
- Representative from Shreveport Nursing
- Representative from Fort Polk
- Representative from England Air Park

**Sub-committee of Committee of Admissions, Credits, & Graduation Council: Grade Appeals Committee**

Purpose: Undergraduate students who receive grades they believe do not reflect the quality of their work may appeal these grades within 120 calendar days following the academic period in which the grades were earned. The sole purpose of the Grade Appeals Committee is to review and make a final decision on grade appeals that are submitted by students to the Registrar.

The Committee includes the student, instructor, academic dean, and department head of the course in question.

Membership: 19

- Registrar (Chair)
- Vice President for Student Affairs
- Department Heads or Representatives from each College, appointed by Deans

**Sub-committee of Committee of Admissions, Credits, & Graduation Council:  
Academic Suspension Appeals Committee**

Purpose: A student who has been scholastically suspended from the university may appeal to the Registrar for a waiver of suspension provided the student can document evidence of extenuating circumstances and provide justification for suspension waiver. The sole purpose of the Academic Suspension Appeals Committee is to review and make decisions on academic appeals for suspension that are submitted to the Registrar. The appeal may be granted or denied.

Membership: 19

- Registrar (Chair)
- Vice President for Student Affairs
- Department Heads or Representatives from each College, appointed by Deans

***Athletic Council***

Purpose: To serve as advisory body for the University's varsity athletic programs, to consult with the Athletic Director and staff in formulation of policy, interviewing applicants for positions in Athletics, and to insure that competitive athletics activities are pursued in harmony with the University's academic mission and with policies of external regulatory bodies.

Reports to: President

Membership: 13

- Vice President for External Affairs
- Athletic Director
- Compliance Coordinator
- Associate Controller
- Three faculty without responsibilities in Athletics, appointed by the President
- Four staff members
- One student member
- One alumnus

***Early Registration Cancellation for a Previous Balance, Registration with a Previous Balance, Installment Plan Charges, Late Registration Charges, or Late Payment Charges Committee***

Purpose: To hear appeals by students of the assessment of installment plan charges, late registration fees, and/or late payment charges. The Committee Coordinator will serve as a nonvoting member of the committee. The Chair will be appointed by the Vice President for Academic Affairs from the appointees from the Division of Academic Affairs. The Chair will vote only in the event of a tie. A quorum, defined as a majority of appointed voting members, will be required to conduct any business of the committee.

Reports to: President through Vice President for Business Affairs

Membership: 6

- One representative of the Division of Student Affairs, appointed by the Vice President for Student Affairs
- One representative of the Division of Business Affairs, appointed by the Vice President for Business Affairs
- One representative of the Division of External Affairs, appointed by the Vice President for External Affairs
- One representative of the Division of Academic Affairs, appointed by the Vice President for Academic Affairs
- Two faculty members, appointed by the Vice President for Academic Affairs

***Committee on Organizations***

Purpose: To recommend charters for all student organizations at the University; to serve as a liaison between university organizations and university administration; to establish standards; and to impose sanctions.

Reports to: President through the Vice President for Student Affairs

Membership: 11

- Faculty or staff member, appointed by NSU President (Chair, two-year term)
- Assistant Director of Student Activities (Secretary, ex officio, nonvoting)
- Two faculty members, appointed by Committee on Committees
- Two staff members, appointed by Vice President for Student Affairs
- Two students, appointed by President, Student Activities Board
- Two students, appointed by President, Student Government Association
- One graduate student, appointed by President, Student Government Association

**Subcommittee of Committee on Organizations: Who's Who Selection Committee**

Purpose: To select Who's Who recipients from nominations from chartered student organizations and academic departments.

Membership: 4

- Director of Student Activities (chair)
- One faculty member, appointed by Committee on Committees
- Two student members

***Academic Affairs Council***

Purpose: To review academic administrative policies, advise the Vice President for Academic Affairs on academic and administrative matters, and forward recommendations concerning faculty merit ratings to the Vice President for Academic Affairs.

Reports to: President through Vice President for Academic Affairs

**Membership:**

- Vice President for Academic Affairs (chair)
- Vice President of Student Affairs
- Dean of Graduate Studies and Research
- All College Deans
- Director of the Louisiana Scholars' College
- Director of Libraries
- Dean of Electronic and Continuing Education
- Registrar
- Executive Director, Leesville campus
- Executive Director, CenLA programs
- Director of Planning, Assessment, and EEO
- Director of Military Science
- Faculty Senate President

***Curriculum Review Council***

Purpose: The governance of all undergraduate and graduate curricula of the University is the responsibility of the Curriculum Review Council (CRC). The responsibilities of the CRC include the review and approval of course descriptions, curricular descriptions, degree offerings and requirements, and other curricular matters. The CRC meets monthly.

Reports to: Vice President for Academic Affairs

Membership: 18

- Vice President for Academic Affairs (Chair)
- Twelve faculty members, to include representatives from each of the Academic Colleges, appointed by Deans
- President of the Faculty Senate
- President of Student Government Association (SGA)
- Registrar
- Director, Leesville Campus
- Director of Libraries

***Discipline Committee***

Purpose: To serve as a hearing/appeals body for disciplinary hearings as specified in NSU Code of Student Conduct and Appeals Procedures.

Reports to: Vice President for Student Affairs

Membership: 11 (Membership shall reflect a diverse representation of the University community.)

- Six faculty/staff members (four appointed by the President and two recommended by the Student Government Association and approved by the President)
- Five students (two appointed by the President and three recommended by the Student Government Association and approved by the President)

***Facilities Council***

Purpose: To consider and review all requests involving University facilities, such as renovations and maintenance.

Reports to: President

Membership:

- All University Vice Presidents

***Faculty Recognition Council***

Purpose: The Faculty Recognition Council will determine faculty awards in the areas of teaching, service and research at both the graduate and undergraduate levels; these awards include fellowships, sabbaticals, and outstanding teaching awards.

Reports to: Vice President for Academic Affairs through Faculty Senate President

Membership: 10

- Faculty Senate President (chair)
- Five faculty members, appointed by the Committee on Committees
- Two student members (one undergraduate and one graduate)
- Two Department Heads appointed by the Vice President for Academic Affairs

***General Studies Council***

Purpose: The General Studies Council is the policy-making body for the general studies degree program with responsibilities that include approving curriculum changes and proposed individualized programs of study.

Reports to: Vice President for Academic Affairs through the Dean of the University College

Membership: 10

- Dean of University College (chair)
- Nine faculty members, one from each area of concentration, to be nominated by Deans/Department Heads, approved by Dean of University College

***Graduate Council***

Purpose: The Graduate Council is the policy-making body for the conduct of graduate studies at the University. The responsibilities of the Graduate Council include establishing policy and procedure for the governance of graduate faculty membership, graduate curricula, graduate research and writing, graduate student admissions, assistantships and fellowships, grading procedures, and graduation requirements.

Reports to: Vice President for Academic Affairs through the Dean of Graduate Studies and Research

Membership: 11

- Dean of Graduate Studies and Research (chair)
- Nine faculty members, seven holding full status on the graduate faculty and two holding associate status, including one faculty member from every area having a graduate program. To be nominated by Deans or Department Heads, approved by Dean of Graduate Studies and Research.
- One graduate student

***Committee of Graduate Council: Human Subjects Institutional Review Board***

Purpose: In compliance with policies established by the United States Department of Health and Human Services (HHS), when human beings are used as subjects in research projects, safeguards must be established to protect the health, well-being, and rights of the subjects. This committee reviews all research proposals involving human subjects. University policy requires that all research proposals for which data is to be collected from human subjects shall be submitted to this committee to determine whether an exemption applies or whether a review is required. It is the responsibility of the supervising faculty member to assure compliance with this policy in research conducted by either a student or the faculty member.

Reports to: Vice President for Academic Affairs through the Dean of Graduate Studies and Research

Membership: 14

- Dean of Graduate Studies and Research (non-voting)
- One non-voting representative from the Office of Research and Sponsored Programs
- One faculty member from each area having a graduate program, to be nominated by deans and approved by the Vice President of Academic Affairs
- One faculty member from Scholars' College
- One graduate student
- One representative from the Office of Research and Sponsored Programs
- Vice President of Student Affairs
- One retired faculty member

***Committee of the Graduate Council: Institutional Animal Care and Use Committee (IACUC)***

Purpose: The IACUC insures that all university animal facilities and all protocols for use of animal subjects, whether for research or teaching purposes, meet federal guidelines.

Reports to: Vice President for Academic Affairs

Membership: 4

- Head, Department of Life Sciences (chair)
- Director of Veterinary Technology
- Two faculty members, appointed by the chair

***Grievance Committee***

Purpose: The purpose of the Grievance Committee is to hear grievances in accord with University policy.

Reports to: President

Membership: 14. Membership shall consist of fourteen tenured Associate and/or Full Professors appointed by the Committee on Committees, and shall reflect a diverse representation of the University community. They will serve three-year terms. From the fourteen, a random selection will be made to form two committees of seven each. The designation will be Committee A and Committee B. Committee A will conduct a hearing when one is requested by the President. In the event that a second hearing is requested, Committee B will serve. Committee A and B will alternate for successive hearings if needed. Hearings require the full committee; in the event any committee member is unavailable, the President shall have the authority to appoint a substitute for the specific purpose of acting at the hearing. The chair and co-chair will be selected by drawing two names of committee members. The Equal Employment Opportunity/Affirmative Action Officer will act as an observer.

***Human Relations Council***

Purpose: To promote harmonious relations among students, staff and faculty in accord with the Board of Supervisors for the University of Louisiana System policy.

Reports to: President through the Director of Minority Affairs

Membership: 13 (Membership shall reflect a diverse representation of the University community.)

- Dean of Electronic and Continuing Education (chair)
- Director of Affirmative Action
- Director of Human Resources
- Vice President for Student Affairs
- Dean of Graduate Studies and Research
- Enrollment Manager
- Director of Financial Aid
- Counselor, Student Support Services
- Three faculty/staff members, appointed by Committee on Committees
- Two students

***Information Technology Advisory Council (ITAC)***

Purpose: ITAC is an action-oriented body that develops technology-related proposals and advises the academic vice president on all university technology-related initiatives and expenditures as they relate to the academic community. ITAC works in cooperation with the Office of Information Systems and the college-level technology committees. The mission of the ITAC is to sponsor programs and activities which



aggressively advance the mission of Northwestern State University through the effective use of technology.

Reports to: Vice President for Academic Affairs

Membership: 15

- Dean of Graduate Studies and Research or designee (Chair)
- Director of Information Systems
- Six faculty members, one representative from each of the Academic Colleges, appointed by the Deans
- One Representative from each Satellite Campus: Leesville, Shreveport, CENLA
- Natchitoches SGA President or designee
- Shreveport SGA President or designee
- Vice President for Student Affairs or designee
- Director of Libraries or designee

***Institutional Effectiveness Committee***

Purpose: To develop and monitor appropriate processes and procedures to assess the effectiveness of programs, policies, and procedures of the University.

Reports to: Dean of Graduate Studies and Research through the Director of University Planning and Assessment

Membership: 10 (Members include a representative from each college, one from Student Affairs, and an undergraduate and a graduate student. All members serve staggered terms.)

***Library Council***

Purpose: The Library Council advises the Director of Libraries and makes policy recommendations regarding library operation.

Reports to: Vice President for Academic Affairs through the Director of Libraries

Membership: 15

- Director of Libraries (chair)
- Twelve faculty members, to include representatives from each of the Academic Colleges appointed by Committee on Committees
- Two students (one undergraduate and one graduate)

***Parking & Traffic Committee***

Purpose: Responsible for addressing traffic and parking problems and related safety issues on the NSU campus.

Reports to: Vice President for Student Affairs

Membership: 11

- Director of Student Activities and Organizations (Chair)
- Two faculty members, appointed by Committee on Committees

- Four administrative staff, appointed by the Vice President for Student Affairs
- Three students, appointed by the SGA
- Chief, University Police (ex-officio member)

**Subcommittee of Parking & Traffic Committee: Traffic Appeals Committee**

Purpose: Responsible for hearing and making determinations on all traffic appeals on campus.

Reports to: Chief, University Police

Membership: 5

- Director of Student Activities and Organizations (Chair)
- One faculty member, appointed by Committee on Committees
- One staff member, appointed by the Vice President for Student Affairs
- Three students, appointed by the SGA

***Promotions Committee***

Purpose: The responsibilities of the Promotions Committee include reviewing promotion applications and making recommendations concerning promotions of any applicant so requesting. Promotion applicants may request review by the Promotions Committee at any time during the promotion process.

Reports to: Vice President for Academic Affairs

Membership: 7

- Five tenured professors and two tenured associate professors, to serve alternating two-year terms, appointed by the Committee on Committees, approved by vote of the Faculty Senate

***Research Council***

***Student Media Committee***

Purpose: To select student editors and managers for student publications and non-profit media.

Reports to: President

Membership: 9

- Vice President for External Affairs (chair)
- Student Government Association (SGA) President
- Head, Department of Language and Communication
- Two faculty members from the Department of Journalism or Department of Language and Communication
- Four students (one with a major in media)

***Teacher Education Council (TEC)***

Purpose: The Teacher Education Council serves as curricula review body and a bridge between teacher education and the other units in the University.

Reports to: Vice President for Academic Affairs through the Dean of College of Education

Membership: 20

- Dean of College of Education (chair)
- Coordinator, Field Experiences
- Coordinator, Teacher Candidacy and Certification
- Principal, NSU Elementary Lab School
- Principal, NSU Middle Lab School
- Six faculty members, College of Education
- Seven faculty members, from departments which provide courses for teacher education, appointed by appropriate Department Heads/Coordinators
- Two students

***University-Wide Benefits Committee***

Purpose: To review periodically the employee benefits structure of the University and its adequacy for the needs of the University's faculty and staff; to review continuously possible changes to existing benefits and options for new benefits which might serve the needs of the faculty and staff; to examine the appropriateness, under the Board of Regents and the Board of Supervisors guidelines, of each considered change in the University's employee benefits structure. Appointments to the committee are made by the President.

Reports to: President, through the Vice President for Business Affairs

Membership: 10

- Chair, appointed by the President
- Three faculty members, appointed by Committee on Committees
- Five staff members, appointed by the President
- Faculty Senate President
- Ex officio members:
  - Vice President for Financial Affairs
  - Director of Human Resources
  - Payroll Supervisor

***Subcommittee to University-Wide Benefits Committee: Shared Sick Leave Committee***

Purpose: To oversee the University Shared Sick Leave Program for faculty and unclassified staff.

Membership: 7 (All appointed members shall be eligible for participation in the program.)

- Chair, a member of the University-Wide Benefits Committee in the unclassified state service
- A second member of the University-Wide Benefits Committee in the unclassified state service
- Three members-at-large, selected by the Committee on Committees
- Director of Human Resources (ex-officio nonvoting member)
- Payroll Supervisor (ex-officio nonvoting member)

## **College Committees**

### ***Academic Councils***

Purpose: To review academic administrative policies, advise the Vice President for Academic Affairs on academic and administrative matters, review recommendations for faculty merit awards, and review revisions in the Faculty Handbook.

Reports to: Vice President for Academic Affairs through the Deans

Membership: Academic Department Heads/Coordinators

## **Departmental/College Committees**

### ***Promotion and Tenure Committees***

Each department shall establish promotion and tenure committees composed of senior tenured faculty. This may be a single committee serving both functions, or it may be the case that a department has two separate committees, one for tenure and one for promotion. For purposes of this discussion, the committee(s) will be called the Promotion and Tenure Committee. The following guidelines for membership shall apply to all Promotion and Tenure Committees:

The Promotion and Tenure Committee shall consist of five tenured faculty members, each holding rank equivalent or higher than the rank sought by the applicant. A faculty member requesting promotion to the rank of associate professor, for example, must be evaluated by a committee of five faculty members all holding the rank of associate professor or full professor. One of the five will be elected chairperson. The department head or dean is categorically forbidden from serving on the Promotion and Tenure Committee.

In the event the applicant is not part of an academic unit with a Promotion and Tenure Committee or if there are not enough individuals in the department to constitute a Promotion and Tenure Committee, an ad hoc committee will be authorized by the appropriate dean. The membership of this committee shall consist of four faculty members, two chosen by the applicant for promotion and two chosen by the department head/coordinator or dean. All must hold academic rank equal to or higher than the rank sought by the applicant; all must be tenured. All may be chosen from the faculty of Northwestern State University or may be chosen from the faculty of another university. A combination of faculty from Northwestern State University and another university is clearly permitted, but each selection is to be based on knowledge of the candidate's field. None can be a close personal friend of or related to the applicant. One of the four will be elected chairperson. The department head or dean is

categorically prohibited from serving on the ad hoc Departmental Promotion and Tenure Committee.

The Departmental Promotion and Tenure Committee reviews applications and other relevant documentation, and makes recommendations to the department head/ or dean, who in turn makes recommendations to the Vice President for Academic Affairs. All non-tenured faculty shall be evaluated on an annual basis. Departmental Promotion and Tenure Committees shall follow timelines and procedures outlined in Chapter Two of the Faculty Handbook.

***Faculty Screening Committee***

The Faculty Screening Committee reviews credentials, checks references, conducts telephone interviews with potential applicants, recommends the most qualified candidates for on-campus interviews in priority order, organizes and conducts on-campus faculty interviews and makes recommendations to Department Heads or Deans of choice(s) and appropriate rank.

**Faculty Senate Standing Committees**

Terms of office of all members of Faculty Senate Standing Committees shall be one year except that of the Faculty Standards Committee, whose members shall serve two year terms. The Faculty Senate may establish new committees, ad hoc or standing, when needed for particular purposes.

***Executive Committee***

Chaired by President of the Faculty Senate for the purpose of providing leadership for the Senate.

Reports to: Faculty Senate through the Faculty Senate President

Membership: President, Vice President, Secretary and Parliamentarian

Duties/Procedures:

- Convened by the Faculty Senate President once a month approximately eight (8) working days preceding each regular meeting of the Faculty Senate, or at the call of the Faculty Senate President;
- Prepares Senate agenda for distribution not less than five (5) working days before each regular meeting;
- Assigns tasks to Faculty Senate Standing Committees and receives the reports;
- Interprets provisions of the Faculty Senate Bylaws and recommends changes if needed;
- Monitors the implementation and ongoing operation of the governance structure;
- On behalf of the Senate forwards to the President and Vice President for Academic Affairs recommendations concerning University and Faculty Senate Standing Committees.

***Committee on Committees***

Chaired by the Vice President of the Faculty Senate to administer the election of senators and the nominations of faculty for representation on all University Standing Committees.

Membership shall consist of one Faculty Senator from each Academic College, elected by the Faculty from the respective college.

Duties/Procedures:

- Convened by the chair as needed.
- Performs tasks assigned by Executive Committee of Senate concerning elections and nominations for appointment;
- Develops uniform voting procedures for the election of senators and supervises Senate elections;
- Polls faculty to determine rank order of committee service preferences;
- Makes recommendations for committee members in compliance with the affirmative action plan of the University;
- Submits to designated appointing authority no fewer than two nominations for each seat to be filled by a faculty representative with his/her consent. In case of nominations to University Standing Committees, each list of nominations shall include no fewer than one Senator;
- Reports to Faculty Senate as appropriate;
- Appoints replacements for elected or appointed faculty committee members who resign. Secures nominations from appointing officer for staff or student replacements;
- Annually reviews the committee and council structure of the University.

#### ***Faculty Standards Committee***

Purpose: To recommend to the Faculty Senate changes in policy related to issues such as tenure and promotion, faculty development, faculty honors, merit system, faculty compensation, and new faculty orientation; to periodically review and update the Faculty Handbook to reflect current policies; and to recommend policy changes in the areas outside the purview of the other committees.

Reports to: Faculty Senate through Faculty Senate Secretary

Membership: 13

- Faculty Senate Secretary (chair)
- Twelve faculty members, to include representatives from each of the Academic Colleges, appointed by Committee on Committees

## **FACULTY SENATE**

**Preface.** The Faculty Senate in structure is a republic: specifically, it is a body of elected representatives of the faculty of Northwestern State University. In that spirit, the Faculty Senate functions as a liaison between faculty and the administration at Northwestern State

University. The ultimate goal of this liaison is to promote attainment of the educational goals of the University.

### **Constitution and By-Laws**

- I. **PURPOSE:** To promote a healthy faculty-administration relationship by opening and maintaining a dialogue through regular meetings organized and conducted by representatives of the faculty.
- II. **DEFINITION OF FACULTY:** Any member of the Northwestern State University faculty who holds one of the four ranks (Instructor, Assistant Professor, Associate Professor or Professor) including librarians.
- III. **MEMBERSHIP IN THE FACULTY SENATE:** There are two classes of membership, (a) ex-officio and (b) elective.
  - a. Ex-officio members include the President of Northwestern State University, the Vice President for Academic Affairs, the Vice President for University Affairs, the Executive Director of the Leesville Center, and the Vice President for Student Affairs.
  - b. Elective members include representatives of the different academic departments of Northwestern State University and the University library. There shall be one representative in departments with 10 or fewer faculty members, two representatives from departments with 11 to 20 faculty members, and three representatives from departments with 21 to 30 faculty members. As a department grows beyond 30 faculty members, it shall be allowed one additional representative for each 10 additional faculty members or portion thereof. These representatives shall be elected at the last departmental faculty meeting of each school year.
- IV. **ELIGIBILITY FOR ELECTIVE MEMBERSHIP:** Elective members of the Faculty Senate shall be chosen from the membership of the full-time, non-administrative faculty who have been full-time members of the Northwestern State University faculty for at least one year.
- V. **TERMS OF OFFICE FOR MEMBERS OF THE FACULTY SENATE:**
  - a. An ex-officio member will hold membership as long as the administrative position is held.
  - b. An elective member will hold office for two years. To ensure staggered terms, the second, third, etc. representatives from a department will be elected for one year. In the event of a vacancy in representation, the department that has lost its representation shall choose another by appropriate departmental election.

- VI. OFFICERS OF THE SENATE: All officers of the Faculty Senate shall be elective members of the Senate and shall be elected by a majority of the membership of the Senate present at the first meeting of the Faculty Senate in the fall semester; these elected officers shall begin their term of service on January 1 of the year following their election and complete their term of service on December 31 of that same year.

The elected officers shall be:

- a. President: Duties shall be to preside at the meeting of the Faculty Senate, to serve as official spokesperson for the Senate, and to implement the decisions of the Senate.
  - b. Vice-President: Duties shall be to act in the place of the President of the Faculty Senate when the latter is unable to carry out any or all of the functions of the office.
  - c. Secretary: Duties shall be to take the minutes of the meetings of the Faculty Senate, to distribute copies of these minutes to the individual faculty members, ex-officio members and the Board of Supervisors for the University of Louisiana System, to carry on the necessary correspondence for the Senate as a whole, and to poll the membership-at-large when requested by the Senate President.
  - d. Parliamentarian: Duties are to insure that the meetings of the Faculty Senate are conducted according to *Robert's Rules of Order*.
- VII. MEETINGS OF THE FACULTY SENATE: The President of the Senate shall designate at the beginning of the school year the meetings of the Senate during the fall and spring semesters and provide this schedule to each faculty senator at the first meeting of the school year. The meetings will be held on appointed Tuesdays in a room designated by the President of the Faculty Senate. Special meetings of the Senate may be called by the President at other times when school is in session provided notices are sent to the faculty members of the Senate at least one working day prior to the meeting with a complete list of the agenda. Special meetings may be called by senators by petition of one-third of the membership submitted to the President. Upon receipt, the President will call a meeting.

VIII. FUNCTIONS OF THE FACULTY SENATE:

- a. The Faculty Senate, subject to the powers vested in the President of the University and the Board of Supervisors for the University of Louisiana System, shall consider and act upon any and all educational matters that concern Northwestern State University as a whole or that affect more than



one College or Department of the University. It shall review and report on all legislation that in any way involves more than one division of the University. It shall consider any matter referred to it by the President, the Board of Supervisors, or one of the University committees, and, on its own initiative, it may submit recommendations on any matter affecting the interests of the University.

- b. Any recognized group within the faculty, individual faculty members, the academic administrative staff or the non-academic administrative staff shall possess the privilege of presenting any suggestion to, or raising any problem for consideration by, the Faculty Senate.
- c. The President of the Faculty Senate or appointee shall attend the monthly meetings of the Faculty Advisory Council and the Board of Regents meetings in Baton Rouge.

IX. COMMITTEES OF THE FACULTY SENATE: Ad Hoc committees may be appointed by the President of the Senate.

X. BY-LAWS:

1. An elective member of the Faculty Senate who is unable to attend a meeting of the Senate may delegate an official substitute who may vote.
2. Non-members of the Senate may attend Senate meetings with the permission of the President.
3. A quorum of the Senate is said to exist when a majority of the total membership is present.
4. For a measure to pass, a two-thirds majority of those present must consent by appropriate vote.
5. Any vacancy among the officers shall be filled by appropriate special election before the Faculty Senate. Vacancies among representatives shall be filled by appropriate election of the department concerned.
6. Ex-officio members are not permitted to vote on measures before the Faculty Senate.
7. The minutes of the Senate meetings shall be published in whatever manner is considered appropriate by the President.
8. This Constitution and By-Laws may be amended by a two-thirds vote of the total membership of the Faculty Senate.

9. Any senator absent two times during the academic year who is not represented by proxy shall be removed from the rolls of the Faculty Senate.
10. Because the Faculty Senate is not in session during May through August, should the need for the President's approval or advice arise, he or she will consult with as many Senators as can be found on campus or in the neighborhood during the interim period; if the President is not available other officers of the Senate will be expected to act for the President, and in order of Presidential Succession, i.e. the Vice-President, the Secretary, or the Parliamentarian, in full authority..

## CHAPTER TWO

### FACULTY PERSONNEL POLICIES

#### **Nondiscriminatory Policy**

In policies, practices, and procedures related to faculty appointments, the University shall not engage in unlawful discrimination in employment against any person because of race, religion, sex, national origin, age, disability, or veteran status. The University shall take affirmative action to employ protected class applicants in accordance with the laws of the United States and the State of Louisiana. Such action shall include, but not be limited to, affirmative efforts with respect to employment, promotion, retention, recruitment, or recruitment advertising; reduction in force, or termination; rates of pay or other forms of compensation; and selection for faculty development activities. Furthermore, the University shall post in conspicuous places notices setting forth the provisions of this policy.

Recognizing the validity of the thesis that no instructional program can be better than those who do the instruction regardless of the environment, Northwestern State University is committed to the policy of recruitment of those individuals who have proven capabilities or who show great promise in teaching and research, without regard to race, religion, sex, national origin, age, disability, or veteran status. Emphasis in recruitment is placed on those having a terminal degree, those nearing completion of a terminal degree, or those with exceptional qualifications. In assessing the relative merits of professional degrees, the University strives for equity. The terminal degree should be related to the instructional discipline.

Additionally, the University is committed to providing access to educational programs, tuition assistance, and social and recreational activities for all students without regard to race, religion, sex, national origin, age, disability, or veteran status.

#### **Affirmative Action Policy**

It is the policy of Northwestern State University of Louisiana to recruit, hire, train, promote, tenure, and otherwise make personnel decisions without discrimination because of race, religion, sex, national origin, age, disability or veteran status. Specific policies and procedures comply with Titles VI and VII of the Civil Rights Act of 1964, Executive Orders 11246 and 11375, Title IX of the Education Amendments of 1972, section 503 and 504 of the Rehabilitation Act of 1973, Section 402 of the Vietnam Era Readjustment Act of 1974, the Age Discrimination in Employment Act of 1967 as amended in 1978 and 1986, the Immigration and Reform Act of 1987, the Americans with Disabilities Act of 1990, and all Civil Rights Laws of the State of Louisiana.

These policies as published in the University's Affirmative Action Plan, apply to academic and non-academic areas of personnel administration at all levels, and include, but are not limited to, recruitment, advertising, testing, hiring, training, tenure, promotions, transfers, leave practices, rates of pay, employee benefit programs, and employee terminations.

#### **Affirmative Action Plan**

Through the adoption of the Affirmative Action Plan, the University is committing all its

operating departments to a results-oriented program directed towards achieving equal employment opportunity in both academic and non-academic levels.

Included in the plan are goals and activities the University will implement to remove artificial employment practices that could operate disadvantageously for an identifiable protected group of persons. The major goal of the plan is to achieve and maintain employment levels for minorities in faculty, professional non-faculty, and staff positions in the University in proportion to their availability in the relevant labor force.

The University's EEO/AA officer has been assigned responsibility for continuing development, implementation, and monitoring of the Affirmative Action Plan. Questions regarding the University's Equal Employment Opportunity/Affirmative Action Policy or its implementation may be directed to the EEO/AA officer in Room 207, Roy Hall.

### **Northwestern State University's Policy on Sexual Harassment**

No employee or student at Northwestern State University shall be subjected to unsolicited and unwelcome sexual conduct, either verbal or physical. Sexual harassment violates University policy as well as state and federal laws and is specifically prohibited. It is neither permitted nor condoned.

Members of the University community—students, staff, faculty and administrators—are entitled to a professional environment free of harassment or interference for reasons unrelated to the performance of their duties. Since some members of the community hold positions of authority that may involve the legitimate exercise of power over others, it is their responsibility to be sensitive to that power, so as to avoid actions that are abusive or unprofessional. Faculty and supervisors, in particular, in their relationships with students and fellow employees, need to be aware of potential conflicts of interest and the possible compromise of their evaluative capacity. Because there is an inherent power difference in these relationships, the potential exists for the less powerful person to perceive a coercive element in suggestions regarding activities outside those appropriate to a strictly professional relationship. It is the responsibility of faculty, staff and students to behave in such a manner that their words or actions will not reasonably be perceived as suggestive or coercive.

It is also a violation of this policy for any employee or student at the University to attempt in any way to retaliate against a person who makes a claim of sexual harassment.

#### ***Definition***

Sexual harassment has been defined by the Equal Employment Opportunity Commission as unwelcome sexual advances, including requests for sexual favors or other verbal or physical conduct of a sexual nature, when:

1. Submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's education or employment; or
2. Submission to or rejection of such conduct by an individual is used as the basis for academic or employment decisions affecting the individual; or

3. Such conduct has the purpose or effect of substantially interfering with an individual's academic or professional performance or creating an intimidating, hostile, or offensive employment, educational, or living environment, or adversely affecting any student.

**Specific procedures for resolution of sexual harassment complaints are found in Appendix K.**

### **Policy Statement Regarding Alcohol & Drugs**

Students and employees of Northwestern State University of Louisiana are hereby informed that the unlawful manufacture, distribution, dispensing, possession or use of controlled substances is prohibited on university property. Students and employees of the University found to be illegally manufacturing, distributing, dispensing, possessing or using controlled dangerous substances on university property shall be subject to disciplinary action in accordance with applicable policies of the State of Louisiana, Board of Supervisors for the University of Louisiana System, and Northwestern State University. In addition to university disciplinary action, students and employees found to be illegally manufacturing, distributing, dispensing, possessing or using controlled substances shall also be subject to criminal prosecution.

The term “**controlled dangerous substance**” means a drug, substance or immediate precursor in Schedule I through V of Louisiana RS 40:964.

Students and employees are also advised that the possession and consumption of alcoholic beverages on university property or during any trip sponsored by the University or university affiliated organization except as provided in University policy is forbidden.

University policy requires prior approval for any event at which alcohol is served. Local and state ordinances governing the sale, possession and/or consumption of alcoholic beverages shall be observed. A copy of the University policy is available in the Office of Student Activities and Organizations on the University campus. **(See Appendix L)**

### **Policy on Smoking**

Northwestern State University is dedicated to providing a safe, healthy and comfortable environment for its students, faculty, staff, and guests.

Smoking is a leading cause of premature death and disability, and research has shown that nonsmokers with chronic heart or lung disease can experience severe distress when exposed to secondhand smoke. Many allergic individuals and even the majority of healthy nonsmokers report discomfort when exposed to secondhand smoke on the job. Medical studies indicate that long-term exposure to involuntary smoking may increase nonsmokers' risks of developing lung cancer or other severe lung diseases. Because of all of these factors, it is imperative that nonsmokers be protected from secondhand smoke.

Smoking is prohibited within all University buildings and facilities (including all athletic facilities) and University vehicles on all campuses. Persons choosing to smoke outside of University buildings and facilities should avoid the immediate entrance and exit areas to prevent subjecting others to secondhand smoke.

All students, faculty, and staff share responsibility for adhering to and enforcing University policy. Lack of policy adherence should be brought to the attention of appropriate supervisory personnel.

It is recognized that the success of this policy will depend upon the thoughtfulness, consideration, and cooperation of tobacco users and nonusers. Accordingly, it is requested that all concerned use courtesy in pursuing the implementation of this policy.

### **Relationships Between Faculty/Staff and Students**

Romantic or sexual relationships between a faculty member and a student are inappropriate where grades are assigned or work is approved. Issues and procedures related to sexual harassment are addressed in Appendix K.

### **Academic Freedom and Responsibility**

Realizing that academic freedom carries with it certain privileges as well as certain responsibilities, Northwestern State University has adopted the statement approved by the American Association of State Colleges and Universities. This statement is the official position of Northwestern State University, and as such supersedes previous statements and endorsements on these subjects.

The purpose of this statement is to promote public understanding and support of academic freedom and responsibility, and to ensure agreement upon procedures designed to protect these freedoms and responsibilities in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either an individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.

Institutions of higher education are committed to the solution of problems and controversies by the method of rational discussion. Acts of physical force or disruptive acts that interfere with university activities, freedom of movement on the campus, or freedom of students to pursue their studies are the antithesis of academic freedom and responsibility as are acts which in effect deny freedom of speech, freedom to be heard, and freedom to pursue research of their own choosing to members of the academic community or to invited visitors to that community.

Academic freedom is the right of scholars in institutions of higher education freely to study, discuss, investigate, teach, and publish.

Academic freedom applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspects is fundamental for the protection of the rights of the teacher in teaching and of the student in learning. It carries with it duties correlative with rights.

***Academic Freedom***

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

The faculty are entitled to freedom in the classroom in discussing subjects; but care should be taken to present the various scholarly views related to the subject and avoid presenting totally unrelated material.

The library for Northwestern State University selects materials for the interests and information of the students and faculty of the University. No materials are excluded because of subject content related to race, nationality, social views, religion, or political views. Materials covering many points of view on various issues are represented in the collection. Attempts to censor library materials or displays are considered abridgments of freedom of speech and denial of academic freedom.

***Academic Responsibility***

The concept of freedom should be accompanied by an equally demanding concept of responsibility. College or university faculty are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as a citizen, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As persons of learning and educational officers, they should remember that the public may judge the profession and the institution by their utterances. Hence they should at all times show respect for the opinions of others, and should make every effort to indicate that they are not spokespersons for the institution.

**Professional Ethics**

No set of rules or professional code can either guarantee or take the place of a scholar's personal integrity. The American Association of University Professors has defined what is meant by professional behavior:

- a. "Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment to using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry."
- b. "As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper

roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to assure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom."

- c. "As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of other. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution."
- d. "As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions."
- e. "As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the lights of their responsibilities to their subject, to their students, to their profession and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom."

### **Initial Review of Applicants**

The departmental or college Faculty Screening Committee reviews credentials, checks references, conducts telephone interviews with potential applicants, recommends the most qualified candidates for on-campus interviews in priority order, organizes and conducts on-campus faculty interviews, and makes recommendations to the Department Head/Coordinator or Dean of choice(s) and appropriate rank.

### **Letters of Employment**

All letters of appointment are issued on official University forms and are contingent upon availability of funds. No offer of employment is valid and binding on the University until approved by the Board of Supervisors and the President.



Continuing probationary and tenure-track faculty shall be provided letters of employment for the ensuing academic or fiscal year after Board of Supervisors approval of the fiscal year budget. Probationary and tenure letters must be signed and returned to the office of the Vice President for Academic Affairs on or before fifteen (15) working days from the date of receipt. The office of the Vice President for Academic Affairs will forward the executed letters to the Business Affairs Office - Human Resources Section.

Caution should be taken in the course of participating in the hiring process. It should be clearly understood, in accord with Louisiana Revised Statute 17:3305(A) and subject to applicable rules and regulations, that only the President, with the final approval of the Board of Supervisors for the University of Louisiana System, has the authority to appoint and fix the salaries and the duties of the members of the faculty and administrative and professional staff employees. No other University employee or official has the authority to appoint a prospective employee. It should be made clear to all applicants that their appointment and the description of duties must be determined by the President and is contingent upon Board approval. Failure to act in accord with the above may expose the individual participating in the hiring process to some personal liability.

### **Conditions of Employment for Faculty**

Policies and procedures given in this handbook are explicit conditions of employment. Nevertheless, the status of a faculty member also carries with it certain implicit standards and criteria for conduct that are commonly accepted in the academic community but may not be explicitly stated here.

Northwestern State University's policies and regulations shall operate under the aegis of express authority concepts only and apparent authority shall not be deemed an acceptable criterion. Consequently, the professional practices for all academic personnel shall include but not be limited to:

1. Teaching all classes in a manner that will promote academic excellence to the fullest extent.
2. Participating in all official Northwestern State University functions labeled as such by the Department Head, Coordinator, Director, Dean, Vice President, or President (e.g., commencement, registration, and any scheduled meetings).
3. Maintaining a minimum of 10 office hours on a weekly basis.
4. Advising and counseling students during required office hours and at other times and settings established by the Department Head, Director, or Dean.
5. Engaging in scholarly activities, including research, scholarly publications, and presentations as appropriate to the academic discipline.
6. Participating in departmental development, recruitment of students, and other professional endeavors germane to the mission of the department.

7. Maintaining a collegial relationship with peers and colleagues throughout the University.
8. Complying with the rules and regulations established by the University of Louisiana System as well as all State statutes and regulations.

Mandatory participation in certain Employment Benefit programs is included in the conditions of employment. Information concerning these programs may be obtained from the Business Affairs Office-Human Resources Section.

### **Selective Service Registration**

In accordance with R.S. 42:33 (Acts 1987, No. 581, Section 1), an individual shall be ineligible for employment or appointment in an unclassified civil service position (faculty or staff) if he:

1. Was born after December 31, 1960, or is or was required to register under Section 3 of the Military Selective Service Act (50 U.S.C. App. 453), and
2. Is not so registered or knowingly and willfully did not so register before the requirement terminated or became inapplicable to the individual.

### **Employment Appointment Information**

All faculty employment appointments shall be tendered subject to the availability of funds and approval of the Board of Supervisors for the University of Louisiana System. Appointments shall include the following information:

- a. type of appointment (tenure status);
- b. salary amount;
- c. designation of program area(s);
- d. designation of academic rank, academic title, or special academic status;
- e. duration of appointment;
- f. special conditions (if any);
- g. professional practices expected of academic personnel.

### **Types of Appointments**

All University personnel are under appointment or specific working agreements with the University. All full-time faculty are under appointment contracts generally for either a nine-month or twelve-month period. The length of an appointment is determined by the appropriate University officials, based on, but not limited to, responsibilities, job function, title, and position.

***Definitions of Appointment Terms***

For the purposes of the policies contained in this chapter:

Academic year shall mean that period of time encompassed by fall and spring semesters.

Fiscal year shall mean July 1 to the following June 30.

Calendar year shall mean January 1 through December 31.

Working day shall mean any Monday, Tuesday, Wednesday, Thursday, or Friday during the calendar year that the University is officially open; however, in accord with University guidelines, "working day" may also include the other days of the week (as pertaining to the University Library, for instance).

Class day shall mean any day during which classes are scheduled.

Appointment Letter shall mean the letter of assignment or contract letter which each employee receives at least annually describing his/her employment for the following designated period.

12-month equivalent salary shall mean the amount calculated by dividing the employees regular annual salary by the number of months in the employee's regular annual appointment multiplied by twelve.

$$\frac{\text{the employee's regular annual salary}}{\text{the number of months in their regular appointment}} \times 12 = \text{12-month equivalent salary}$$

Example: For an employee who is paid \$35,000.00 for a nine month or academic year appointment, the 12-month equivalent salary would be calculated as follows:

$$\frac{\$ 35,000.00}{9} \times 12 = \$46,668.00$$

***Duration of Appointments***

Unless otherwise specifically defined in an individual appointment of employment, appointments for the academic year shall normally commence not more than seven (7) working days prior to the scheduled beginning of classes and end not later than three (3) working days after spring commencement. Unless otherwise specifically defined in an individual contract of employment, appointments for the fiscal year shall commence on July 1 and end on the following June 30.

***Full-time Faculty Appointments***

Full-time faculty appointments are those designated as one (1.0) FTE (full-time equivalent) in accordance with University, Board of Supervisors and Board of Regents guidelines.

### ***Part-time Faculty Appointments***

Part-time faculty appointments are those designated less than one (1.0) FTE.

### ***Term Appointments***

A full-time or part-time term appointment is for a designated period and automatically expires at the end of that period. Re-employment of the faculty member after expiration of a term appointment is solely within the discretion of the University.

### ***Probationary Appointments/Tenure Track***

A full-time probationary appointment, a particular form of term appointment, is for a designated period not to exceed one fiscal year and may be issued for a maximum of six academic years, subject to non-reappointment at the end of each designated period. The employee may be issued a terminal one-year term appointment after receiving six one-year probationary appointments. Probationary appointments are also known as tenure-track appointments.

### ***Tenure Appointments***

A full-time tenure appointment is for a designated period not to exceed one academic year but gives the faculty member an expectation of continuous annual appointments until the faculty member resigns, retires, becomes permanently disabled, is dismissed for adequate cause, or is terminated pursuant to a reduction in force resulting from a *bona fide* financial exigency or from the formal discontinuance of a degree or program area. Tenure does not guarantee a right to rank, salary, or work assignment.

### ***Extra Services Appointments***

Extra services appointments are term appointments used to provide compensation for probationary or tenure appointment faculty who perform compensable duties not covered by their probationary or tenure appointments.

### ***Administrative Appointments***

All appointments for administrative positions or jobs are at the will or at the pleasure of the University administration, unless otherwise indicated by written agreement. Appointments are made by the appropriate University official based upon recommendations of the budget unit head of the employing unit.

## **Prescribed Procedures for Entering or Exiting Employment**

There are prescribed procedures for entering and exiting employment at Northwestern State University which should be followed by all personnel. Information concerning these procedures may be obtained from the Business Affairs Office-Human Resources Section. More related information can be found in the NSU Fiscal Policy and Procedure Manual, a copy of which can be found at the Business Affairs Office, the library, and in each department and college office.

## **Nepotism**

Nepotism in governmental employment is regulated by the State of Louisiana Code of Governmental Ethics (the "Code"). The Code provides in pertinent part as follows:

### ***"S 1119 Nepotism***

"No member of the immediate family of an agency head shall be employed in his agency."

\* \* \*

"The provisions of this section shall not prohibit the continued employment of any public employee nor shall it be construed to hinder, alter, or in any way affect normal promotional advancements for such public employee where a member of the public employee's immediate family becomes the agency head of such public employees agency, provided that such public employee has been employed in the agency for a period of at least one year prior to the member of the public employees immediate family becoming the agency head."

Definitions of the following relevant terms are also found in the Code of Governmental Ethics.

### ***"S 1102 Definitions***

"'Agency' means a department, office, division, agency, commission, board, committee, or other organizational unit of a governmental entity...."

"'Agency head' means the chief executive or administrative officer of an agency or any member of a board or commission who exercises supervision over the agency."

"'Immediate family' as the term relates to a public servant means his children, the spouses of his children, brothers, sisters, parents, spouse, and the parents of his spouse."

"'Public employee' means anyone, whether compensated or not, who is:

- "(a) An administrative officer or official of a governmental entity who is not filling an elective office.
- "(b) Appointed by any elected official when acting in an official capacity, and the appointment is to a post or position wherein the appointee is to serve the governmental entity or an agency thereof, either as a member of an agency, or as an employee thereof.
- "(c) Engaged in the performance of a governmental function.
- "(d) Under the supervision or authority of an elected official or another employee of the governmental entity.

"A public employee shall be in such status on days on which he performs no services as well as days on which he performs services. The termination of any particular term of

employment of a public employee shall take effect on the day the termination is clearly evidenced."

"'Public servant' means a public employee or an elected official."

More complete information concerning nepotism can be found in the Louisiana Governmental Code of Ethics, Louisiana Revised Statute 42:1101, et seq.

## **ACADEMIC FACULTY**

La. R.S. 17:3304 defines college and university faculty as a member of the instructional staff of each college and university having the rank of instructor or higher and persons engaged in library, artistic, research and investigative positions of equal dignity. The head of each college or university and its academic officers shall be members of the faculty.

### **Administrative Faculty**

Administrative Faculty shall be defined to include administrative employees who carry academic rank.

### **Ranked Academic Faculty**

The four academic ranks approved by the University include Instructor, Assistant Professor, Associate Professor, and Professor. Rank is conferred with the approval of the faculty in an academic discipline. All faculty at the Dean level or below who hold academic rank shall teach a minimum of three hours per year.

#### ***Instructor***

A person holding the rank of instructor must possess the master's degree or generally comparable professional certification in his/her field of specialization. Appointment to the rank of instructor is renewable on an annual basis.

#### ***Assistant Professor***

To be considered for promotion to the rank of Assistant Professor, a person must have demonstrated teaching ability and professional promise and attained the minimum academic qualification of the master's degree in the field plus approved graduate work as determined by the appropriate department and/or the Faculty Committee on Promotion.

#### ***Associate Professor***

To be eligible for promotion to the rank of Associate Professor, a person must possess an earned terminal degree (unless extraordinary service to the University and other significant credentials can be documented), and have at least five years of full-time teaching or academic support experience at the level of Assistant Professor; must have given continued evidence of his/her competency as a teacher or academic support person, and must have performed other services essential to the advancement of the University. These services may take a variety of forms and may include such activities as scholarship, creative activities, publications, and University and public professional service.

***Professor***

To be eligible for promotion to the rank of Professor, a person must hold an earned terminal degree and have completed at least five years of full-time teaching or academic support service on the level of Associate Professor; must have made significant contributions to the achievement of the goals and purposes of the University; and must have distinguished him/herself professionally.

***Endowed Professor:***

Endowed Professorships are awarded to full-time faculty:

1. Whose accomplishments have resulted in significant impact on the development of the University.
2. Who show greatest potential as contributors to the further development of the University and its programs.

The following criteria have been established to select recipients for each Endowed Professorship.

1. The Provost and Vice President for Academic Affairs shall appoint an Approving Agent (Dean, Director, Department Head, etc.) for each Endowed Professorship.
2. The Approving Agent will appoint a Selection Committee consisting of faculty members within the academic unit to establish guidelines for the selection process consistent with the intent and guidelines of the Endowed Professorship. The award will be made annually.
3. The recipient may be any full-time faculty member eligible to receive benefits from the Endowed Professorship other than an Approving Agent as identified above.
4. The Selection Committee appointed by the Approving Agent will solicit nominations from the appropriate Academic Unit or from the University as a whole. Self-nominations are to be accepted. The Committee will consider applicants and recommend a recipient to the Approving Agent. The Approving Agent will notify the recipient and make the final recommendation to the Provost. The Provost will notify the recipient officially of the award.
5. The award may be used for salary, or equipment, or travel, or any combination thereof, and is not necessarily limited to those categories. At the inception of the award, the Approving Agent and the recipient will prepare a written agreement that delineates the specific expectations and performance objectives for the funded period.
6. Disbursement of funds shall be made in accordance with the approved budget submitted to the Office of Business Affairs and authorized by the Approving Agent and Provost.
7. A formal written report shall be prepared annually by the recipient and submitted to the Selection Committee and Approving Agent. This report constitutes the reporting requirement by the Board of Regents for the Endowed Professorship.

8. The Selection Committee shall annually review the performance of the Endowed Professorship to ascertain if the specific expectations and performance objectives were met.
9. Results of the Committee's review will be forwarded to the Approving Agent along with a recommendation for either continuance or discontinuance applicable to the Endowed Professorship.
10. A meeting between the Approving Agent and the Endowed Professor will be held to discuss the Committee's recommendation. Action by the Approving Agent may include:
  - a. Affirming the continuance of the Endowed Professor;
  - b. Affirming the continuance of the Endowed Professor with modifications to the performance objectives; or
  - c. Declaring and making known to the Selection Committee that the Endowed Professorship is vacant.

### **Special Status Faculty**

The seven academic titles approved by the University include Lecturer, Adjunct Faculty, Visiting Faculty, Faculty/Research Associate, Faculty-in-Residence, Professor Emeritus, and Affiliate Faculty. It should be stressed that a title is an honor with no attached tenure rights.

#### ***Lecturer***

The title of "Lecturer" may be given to a person who teaches a limited number of courses in a specific area of expertise. Lecturers are term contract employees.

#### ***Adjunct Faculty***

The title of "Adjunct" may be given to a person who possesses the credentials and/or experience to hold rank, but whose primary employment relationship is outside the University. All adjunct positions are term contract.

#### ***Visiting Faculty***

The title of "Visiting Professor" may be given to a person who has a temporary or permanent association at another institution of higher education and is associated with the University while on leave from such other institution or who is otherwise hired to fill a faculty position on a temporary basis. Visiting Professors are term contract employees.

#### ***Faculty/Research Associate***

The title of "Faculty/Research Associate" may be given to a person appointed to a position supported by external grant funds. Associates are term contract employees.

#### ***Faculty-in-Residence***

The title of "Faculty-in-Residence" may be given to an individual who is associated with the University by term contract to perform specific limited duties within an area of special expertise or training under conditions established by the University and upon the recommendations of the appropriate Dean and Department Head/Coordinator.



### ***Emeritus Titles***

The awarding of an emeritus or emerita title is an administrative responsibility, with the exception of president emeritus (University or System). The University President may approve such titles based upon established university criteria and procedures. Emeritus titles should be reserved to honor, in retirement, faculty and administrators who have made distinguished professional contributions and have served significant portions of their careers at the institution: e.g., emeritus professor of chemistry, emerita dean of education, emeritus president. The System President may recommend to the Board of Supervisors the title of president emeritus or emerita, as appropriate.

To be eligible for consideration for academic emeritus status, the individual is expected to have achieved the rank of professor. In exceptional cases, an associate professor with an outstanding record of achievement and contribution to the university may be recommended for the status.

The following are the minimum criteria for consideration for the granting of emeritus status. However, meeting the minimum criteria should not be considered adequate justification for recommending emeritus status.

1. A minimum of ten consecutive years of full-time employment with the university immediately prior to retirement at the institution;
2. Clear evidence of outstanding teaching, scholarly activity, and/or administrative services;
3. Recognized record of meritorious professional achievement, growth, and development; and
4. Clear evidence of university service beyond the normal or ordinary expectations.

### ***Affiliate***

The special status of "Affiliate Faculty" may be awarded by the President upon recommendation of the Vice President for Academic Affairs and the appropriate College Dean to those persons whose employment is with a person or organization that is associated with the University. Affiliate status is awarded as a courtesy with no remuneration. Other than association with the University, Affiliate Faculty are not entitled to any of the rights and privileges of regular faculty.

Affiliate Faculty shall not be employees or agents of the University and may not present themselves as such. The University assumes no liability on their behalf in connection with any of their actions. Such status shall persist only so long as the affiliation exists.

### **Graduate Faculty**

Faculty members who teach and advise graduate students shall be limited to those who have current approval of the Graduate Council and administrative officers responsible for graduate programs. The approval shall be based upon periodic review of the qualifications and

performance of the faculty member in accordance with established criteria for graduate faculty membership.

### ***Criteria for Graduate Faculty Membership***

The criteria for membership on the Graduate Faculty shall be based upon demonstrable elements in two primary areas: (A) Qualifications and (B) Performance. Membership on the Graduate Faculty shall be subject to periodic review.

### **Qualifications**

To demonstrate minimum qualifications for Member Status on the Graduate Faculty, the faculty member must:

1. Be a full-time member of the faculty;
2. Possess an earned terminal degree;
3. Have attained the rank of Assistant Professor or higher; and
4. Have teaching experience of two years or more at the college or university level.

### **Performance**

To demonstrate minimum standards of professional performance for Member Status on the Graduate Faculty, the faculty member must demonstrate continuing evidence of significant achievement in the following:

1. Research/Creative and Professional Activities. These activities should be conducted at the initiative of the faculty member.

- a. Authoring for nationally distributed instruments--that is, instruments that are recognized by the Council as meeting the generally acceptable standards of the field--resulting in publication of one book or at least two book chapters, or at least two articles in refereed journals in the last five calendar years preceding the year of application; and/or

Juried invitations resulting in musical performance or art exhibition sponsored by an arts organization or institution of national scope and reputation--as recognized by the council as meeting the generally acceptable standards of the field--resulting in at least two presentations in the last five calendar years preceding the year of application;

And at least three of the following:

- b. Authoring for regional, state, and non-refereed instruments resulting in at least two publications in the last five calendar years preceding the year of application (nationally distributed publications not utilized in a. above may be applied in b.): and/or

Juried invitations resulting in musical performance or art exhibition sponsored by an arts organization or institution of regional or state scope and reputation resulting in at least two presentations in the last five calendar years preceding the year of application;

c. Authoring grant proposals and contracts resulting in at least one externally funded grant in the last five calendar years preceding the year of application;

d. Presentations on programs of professional and scholarly organizations during at least two of the last five calendar years preceding the year of application (nationally distributed publications not utilized in a. above may be applied in d.);

e. Holding offices in professional and scholarly organizations during at least two of the last five calendar years preceding the year of application;

f. Consulting, commissions, and other professional endeavors related to the discipline that reflect credit on the University and/or serve to enhance the graduate program performed during the last five calendar years preceding the year of application.

2. Program Development Activities. These activities shall be conducted at the initiative of the faculty member or at the request of the faculty member's Department Head/Coordinator or Dean:

a. Active participation in curriculum development;

b. Active participation in the recruitment and retention of qualified graduate students;

c. Active participation in development of resources and/or facilities for the enhancement of the graduate program.

3. Academic Activities. Teaching, policymaking, advising and directing activities to be conducted in accordance with essential needs of the mission of the graduate program shall include:

a. Teaching of graduate and undergraduate courses as assigned by the Department Head or Dean and/or involvement in a graduate level policy-making body for the University;

b. Advising students in the graduate program in curricular and career matters;

c. Directing graduate student research, professional papers, recitals, exhibitions, and theses; and

- d. Assuming responsibility for the direction of a graduate program as needed.

### ***Procedure for Attaining Graduate Faculty Membership***

The procedure for attaining membership on the Graduate Faculty shall be as follows:

#### **Application**

Upon the initiative of the faculty member and/or the request of the Department Head or Dean, the faculty member should complete with clarity and precision the application form provided by the Office of the Dean of Graduate Studies and Research. It should be indicated on the form whether the application is for initial or renewal membership.

All applications, including complete supporting documentation, must be submitted to the Graduate Council, through the Dean of Graduate Studies and Research, by March 1 preceding the academic year of the requested appointment. Applications from new faculty members must be received by September 10 of the academic year of the requested appointment.

#### **Approval**

Upon completion of the application materials, the sequence of recommendation shall be as follows:

1. Upon approval of the application by the college dean, the faculty member shall present the application to the Dean of Graduate Studies and Research;
2. Upon his/her approval, the Dean of Graduate Studies and Research shall present the application to the Graduate Council for consideration; and
3. Upon approval of the Graduate Council, the Dean of Graduate Studies and Research shall present the application to the Vice President for Academic Affairs and to the President for further consideration.

#### **Continuance**

Criteria attained for Graduate Faculty membership must be maintained for continued membership. Graduate Faculty membership must be renewed periodically, with the length of the term dependent on the category of membership.

For continued membership, the procedure of application and approval is the same as listed above, except that the faculty member will complete an application for renewal supplying data for the five-year period preceding the year of application for renewal.

In cases where evaluation of an individual faculty member demonstrates that standards of performance on stated criteria have not been maintained, the faculty member shall not be continued on Graduate Faculty status.

### ***Categories of Graduate Faculty Membership***

The categories of membership shall be defined as follows:

#### **Member Status**

A faculty member who holds Member Status on the Graduate Faculty must meet stated criteria for Qualifications and Performance.

Members may teach graduate courses, serve on graduate-level policy-making bodies, serve on graduate advisory committees, act as major advisors, and direct graduate projects, including theses.

Member Status on the Graduate Faculty is for a period of 5 years and may be renewed as criteria for Performance are maintained and documented by formal application.

#### **Associate Member Status**

With respect to new faculty members holding an earned terminal degree, or faculty already on staff who have earned a terminal degree within the last calendar year, Department Heads, using peer review within the academic unit, will submit recommendations to the College Dean who, in turn, will submit recommendations to the Dean of Graduate Studies and Research, . Using the documentation provided, the Dean of Graduate Studies, Research, and Information Systems will make decisions as to eligibility and responsibilities for which approval will be granted. A new faculty member appointed as Associate member may, subject to annual peer review within the academic unit, retain this status for a period of three years, at which time application must be made for reappointment as Associate Member or for appointment as member of the Graduate Faculty.

An Associate Member who is nominated by the Department Head and the College Dean with adequate justification, including verification by peer evaluation, may teach graduate courses, serve on student committees, serve as a major professor, and direct theses and research papers or projects in lieu of theses.

With respect to faculty already on staff at the University, Department Heads will submit recommendations to the College Dean who will, in turn, submit recommendations to the Dean of Graduate Studies, Research, and Information Systems, who, in consultation with the Graduate Council, will make decisions as to eligibility, responsibilities for which approval will be granted, and terms of appointment.

The length of appointment shall be three years.

Applicants for Associate Member Status must file the same application forms as faculty seeking Member Status on the Graduate Faculty.

Associate Members must demonstrate competence and reasonable promise in areas of research/creative activities and professional recognition and other stated criteria for "Performance" under the criteria for Graduate Faculty.

Associate Members are expected to become eligible for Member Status on the Graduate Faculty during their term(s) of appointment to Associate Member Status. Contracts of entry-level faculty in departments offering graduate-level instruction may stipulate that the faculty must obtain Member Status in order to acquire tenure.

### **Limited Status**

A faculty member who holds Limited Status must demonstrate a unique competence in a specific discipline (e.g., applied music, molecular genetics, studio art) that is essential to the mission of the graduate program.

The unique competence must be verified by peer evaluation. The need and justification must be certified by the academic Department Head or Dean.

Limited Status members may teach courses that require the unique competence, provided that no other person with graduate faculty status is deemed competent or available to teach the courses, and may serve on graduate committees but may not serve as major advisor or direct thesis projects. Limited membership may be approved on a continuing basis only as the competencies are maintained.

### **Adjunct Status**

Adjunct Status may be granted to professionals who are not full-time members of the faculty.

A person who holds Adjunct Status must possess a terminal degree, or equivalent professional competence, and demonstrate competence in areas of research/creative activities and professional recognition.

Adjunct Status may be approved by the Dean of Graduate Studies and Research on a semester by semester basis to teach graduate courses, provided that evaluation demonstrates that the teaching performance reflects credit upon the University and serves to enhance the graduate program.

### **Temporary Status**

Persons of significant professional stature may be invited to serve on the graduate faculty as Visiting Professor or Visiting Scholar for an indeterminate period. Such appointments shall be made by the President of the University.

In an emergency, approval may be given by the Dean of Graduate Studies and Research on a once-only basis for a graduate course to be taught by a full-time faculty member who is not a member of the Graduate Faculty. Approval shall not be renewed after one academic year.

### ***Incentives and Support for Graduate Faculty***

The University shall maintain a program of personal incentives and professional support for faculty members who attain and maintain membership on the Graduate Faculty. Specific standards for both incentives and support shall be based upon current funding and shall be determined annually by the Administration of the University. This program shall include the following:

#### **Incentives**

A faculty member who attains and maintains Member Status on the Graduate Faculty may be accorded a reduction in teaching load.

#### **Support**

A faculty member who attains and maintains Graduate Faculty membership may be accorded support in the following categories.

1. Sponsored programs in research: (a) seed grants; (b) research assistants; (c) grant writing assistance; (d) facilities and equipment; and other.
2. Professional Development: (a) travel; (b) consultants; (c) retreats and workshops; and other.
3. Library Resources: (a) reference and study facilities; (b) data-base bibliographic searching; (c) specialized acquisitions; and other.

## **COMPENSATION**

### **Pay Schedule**

Faculty members on academic-year appointment will receive their salaries in nine equal installments, unless they elect to be paid over a twelve-month period. Faculty on twelve-month employment will receive their payroll checks in twenty-six equal installments.

### **Additional Compensation Through the University**

Occasionally, faculty members are asked to assume responsibility for additional duties relatively unrelated to, or independent of, their normal work. When such assignments are clearly not a part of the faculty member's normal assignment, additional compensation may be permitted. Such additional compensation must be justified on a case-by-case basis and approved prior to the beginning of the assignment. It is the faculty member's responsibility to monitor the allowable compensation and not to exceed the limit.

Total compensation from all NSU sources between July 1, and June 30, inclusive, may not exceed the employee's twelve-month equivalent salary times 1.25.

Academic-year employees using this computation should first multiply their regular academic-year salaries by 12/9 to obtain a twelve-month equivalent salary, then multiply this base by 1.25.

These limitations apply to all income covered by any check issued by NSU for any compensation purpose. Additional compensation through the University is covered in detail in the NSU Fiscal Policy and Procedure Manual.

An employee must be certified by the College Dean as working a full load in addition to the activity for which extra compensation is being recommended. The work for extra compensation shall not in any way interfere with the regular duties of the individual, as certified by the College Dean.

The individual seeking extra compensation must enter into and sign a "contract for extra services" in advance of performance of the work. A copy of a "contract for extra services" is available through the individual's budget unit head. By signing the "contract for extra services," the College Dean and the Vice President for Academic Affairs are certifying or assuring that (a) normal operations are not being jeopardized; (b) quality of work is not affected by personnel substitution; (c) the individual is not abusing the privilege; and (d) record of leave for the University Employee is maintained. A full description of the procedure which must be followed is found in the NSU Fiscal Policy and Procedural Manual.

Federal funds may not be used to pay extra compensation unless specifically authorized by the sponsoring agency. The extra compensation must be authorized to be paid at the regular payroll period for the time period in which it is earned.

Extra compensation or extra services contracts will not be allowed if a conflict of interest is involved or if it is in any way in violation of law. See the Governmental Code of Ethics, the Louisiana Constitution, and other statutory law.

### **Educational Opportunities**

#### ***Fee Exemption for Faculty, Staff, and Dependents.***

A faculty or staff member who has been employed full-time at least two years may enroll for undergraduate or graduate instruction at a reduced fee schedule which shall annually be set by the Board of Supervisors.

The spouse and children of full-time faculty and staff members employed for five years may attend NSU for undergraduate instruction only at a reduced fee schedule which shall be set by the Board of Supervisors, plus any student-assessed fees. Generally, children who qualify will be limited to those who are eligible dependents for tax purposes during the calendar year in which the fee exemption is issued.

The reduced fee schedule for qualified faculty, staff, and dependents shall provide for a minimum charge of \$150 per semester for full-time students and a minimum per credit hour charge for part-time students based on a proration of the full time minimum charge.



Dependents of deceased faculty and staff shall be eligible for the tuition exemption provided for herein provided the faculty or staff member was in service to the institution and eligible for the exemption when death occurred.

Dependents of disabled faculty and staff as determined by the Teachers' or State Employees' Retirement Systems but otherwise eligible for the tuition exemption provided for herein, shall maintain eligibility for the tuition exemption.

Faculty and staff are granted the tuition exemption from self-assessed fees, but dependents shall not be exempted from self-assessed fees.

Board staff shall also be eligible for fee waivers at any System institution in accordance with the provisions of this section.

Fee exemptions for faculty, staff, and/or dependents not eligible according to the provisions stated above may be approved on an individual basis by the System President. Any request for such exemption, with complete justification, shall be submitted by the NSU President.

### **Unemployment Compensation**

Faculty are covered by the Louisiana Employment Security Law. This entitles employees who lose jobs due to non-disqualifying reasons (lay-off, etc.) to receive unemployment compensation benefits, if the monetary requirements established by the Employment Security Law are satisfied. Faculty members on continuing academic-year appointment are not eligible for unemployment compensation benefits between the academic years.

### **Gifts and Favors**

No University employee shall receive anything of economic value, other than compensation and benefits to which he is duly entitled from the University, for the performance of the duties and responsibilities of his office or position. No University employee shall solicit or accept, directly or indirectly, anything of economic value as a gift or gratuity from any person or from any officer, director, agency, or employee of such person, if the University employee knows or reasonably should know that such person:

- (1) Has or is seeking to obtain contractual or other business or financial relationships with the University, or
- (2) Is seeking, for compensation, to influence the passage of legislation by the University.

No University employee shall solicit or accept, directly or indirectly, anything of economic value as a gift or gratuity from any person or from any officer, director, agent, or employee of such person, if the University employee knows or reasonably should know that such person:

- (1) Conducts operations or activities which are regulated by the University, or

- (2) Has substantial economic interests which may be substantially affected by the performance or nonperformance of the University employee's official duty.

Examples of potential violations include, but are not limited to, accepting gifts or gratuities such as complimentary or free travel, accommodations, meals, tickets to sports and/or entertainment events, and turkeys and/or other gifts during the holiday seasons.

### **Season Tickets**

Faculty and full-time employees of Northwestern State University shall have reduced prices on the purchases of season tickets for athletic events.

### **Outside Employment**

The University encourages faculty members to participate in professional business activities which enhance their reputations and reflect favorably upon the University. Faculty members may not engage in any activities, paid or unpaid, which conflict with or delay their services to the University.

The Board of Supervisors for the University of Louisiana System has promulgated a policy concerning outside employment of college and university employees as follows. (Board Rules III-S-9).

"This policy relates to employment directly undertaken by employees of System institutions with outside employers or to self-employment (including consulting) and does not relate to employment in which arrangements are made officially through the institution by contract with or grants to the institution. The policy outlined below relating to outside employment should be brought to the attention of all employees.

#### **"A. Statement of Policy on Outside Employment.**

- "1. A member of the faculty or staff may engage in outside activities, paid or unpaid, which do not conflict, delay or in any manner interfere with instructional, scholarly, and/or other services he must render in the nature of his college or university employment.
- "2. A full-time member of the faculty or staff who is presently engaged, or who plans to engage, in such activities outside of his broad institutional responsibilities, during any period of full-time employment by the institution, shall report to the chairman or head of his department in writing the nature and extent of such activities, and the amount of time the work will require. In all such instances, the Department Head or chairman shall forward the report to the employee's administrative superior who will make a complete disclosure of these facts to the campus head or his designee. A similar procedure shall be followed by deans in reporting to their vice-presidents and by vice-presidents in reporting to their president.

- "3. No full-time member of the faculty or staff shall engage in such outside employment (or continue such employment if already so engaged) without the written approval of the Department Head and Dean. In the event that either the Department Head or the Dean believes that such outside employment involves, or may involve, a matter of public interest or interfere with duties to the institution, the matter shall be referred through the appropriate channels to the president of the college or university or his designee for approval.
- "4. It is the responsibility of the employee to make clear to any outside employer that in accepting such employment he does so as an individual independent of his capacity as a member of the staff of the college or university. This might be accomplished by providing with oral testimony or written reports a statement to the effect that the views expressed are those of the employee and do not necessarily reflect the views of the institution. In no case should the individual concerned use the name of the institution or his college or university title officially, or in any way, in support of any position he may take.
- "5. The institution recognizes the fact that a person qualifies as an expert because of his training and experience. Therefore, biographical data, including a statement of employment by the college or university, may be included as introductory material to written reports (but not incorporated in the body of the written report) by the outside employer, or orally in the case of expert witness, by way of establishing the writer as a qualified expert.
- "6. Institutional resources shall not be used for personal gain. No college or university personnel, laboratories, services or equipment are to be used without administrative authorization in connection with outside employment of college or university employees.

"B. Reporting Procedures. Each year the appropriate vice president(s) shall submit a report of employee activities to the campus president."

Consulting relationships or other employment must comply with the "Code of Ethics for Public Employees," which "prohibits payments from nonpublic sources for a public servant's actions associated with his official duties." The employee should not enter into any contract with any person or business that has or is seeking a business or financial relationship with the University. Contracts should comply with R.S. 42:63 concerning prohibitions against "dual office holding and dual employment." Payments from foundations and recognized alumni organizations, if any, must be processed through the University. It is the responsibility of all University personnel to know and follow these and all other laws regarding their employment.

Individuals must follow the procedure found in the NSU Fiscal Policy and Procedure Manual regarding employment outside the University. In addition, all faculty and staff members are required to report annually the existence and nature of any outside work or employment, and, if such exists, certify on the Additional Employment Activities Certification Form, as follows:

"I am not rendering services for compensation to any person that I know or reasonably should know either had or is seeking to obtain control of business or financial relationships with my agency (academic or administrative unit), has or in seeking control of other business relationships with my agency, or has interests that may be substantially affected by the performance or nonperformance of my official duties.

"I am not being directly compensated by a prohibited nonpublic source for the performance of any services that form a part of the duties, responsibilities, or program of my agency.

"I am not being compensated from a nonpublic source, excluding foundations and recognized alumni organizations, for the performance of any of my public responsibilities and duties. Payments from foundations and recognized alumni organizations, if any, are processed through the University.

"I am involved in no activities that preclude my fulfilling duties as assigned by my institution."

The Additional Employment Activities Certification Form is provided through the office of the appropriate Vice President. Upon completion, the form shall be delivered to the appropriate Vice President for review. Thereafter, the form shall be forwarded to the Business Affairs Office - Human Resources Section.

### **Prohibited Transactions and Contractual Arrangements**

The Code of Governmental Ethics prohibits a University employee's participation in transactions involving the University when the employee or any member of his immediate family has a personal substantial economic interest in such transaction.

No University employee shall bid on or enter into any contract, subcontract, or other transaction which is under the supervision or jurisdiction of the agency of such employee.

### **Faculty-Authored Textbooks**

Faculty who plan to author a textbook, manual, laboratory workbook, or published materials which students must purchase for use in a class at Northwestern State University (hereafter referred to as "the text") must follow these procedures:

1. The text must pass through the departmental/college textbook selection committee of the discipline where it is to be used, and be approved for use. The textbook selection committee will compare the relative merits of the text to other available texts on the same subject matter currently available on the textbook market.
2. In addition, the text will be sent to two outside reviewers who are knowledgeable in the discipline for their review. Their text review will be sent to the textbook selection committee and be included in their consideration of the text.
3. The textbook selection committee of the discipline will prepare an executive summary of the strengths of the text over that of texts on the same subject. Documentation submitted will list all texts that are being considered in the selection process. The

executive summary, supporting documentation, and comments from external reviewers will then be submitted to the Department Head and college Dean for their approval.

4. The Dean of the appropriate college will then prepare a formal recommendation and submit it to the University President for approval.
5. Upon approval of the President, the text will be submitted to the University of Louisiana System Board for its approval.
6. Ownership of the text will be established by the commercial publisher or, if self-published, by the author.

### **Seeking and Holding Public Office**

As employees of the University, faculty and staff members will adhere to the following conditions in exercising the right to seek and to hold public office: (a) notify the President of his/her intention prior to the date of qualification; (b) continue normal workload, including teaching and all other duties and office hours required by the institution; and (c) if unable to meet condition (b) above, take annual leave or leave without pay for the appropriate period of time, in accordance with the leave rules of the Board of Supervisors. Additionally, the employee should be accurate in all statements and make every effort to indicate that he/she is not a spokesperson for the University.

### **Dual Officeholding and Dual Employment**

Louisiana Revised Statute 42:63 provides the following prohibition against dual officeholding and dual employment.

"A. No person holding an elective office, appointive office, or employment in any of the branches of state government or of a political subdivision thereof shall at the same time hold another elective office, appointive office, or employment in the government of a foreign country, in the government of the United States, or in the government of another state. However, a person holding employment in the government of the United States and at the same time holding an appointive office in a political subdivision of the state shall not be in violation of this subsection, unless the particular nature of his employment in combination with the duties and interests of his appointive office in a political subdivision of this state is otherwise prohibited by this Part or is found to be adverse to the public interest as set forth in R.S. 42:61.

"B. Except as otherwise provided by the Louisiana constitution, no person holding office or employment in one branch of the state government shall at the same time hold another office or employment in any other branch of the state government.

"C. No person holding an elective office in the government of this state shall at the same time hold another elective office, a full-time appointive office, or employment in the government of this state or in the government of a political subdivision thereof.

"D. No person holding an elective office in a political subdivision of this state shall at the same time hold another elective office or full-time appointive office in the government of this state or in the government of a political subdivision thereof. No such person shall hold at the same time employment in the government of this state, or in the same political subdivision in which he holds an elective office. In addition no sheriff, assessor, or clerk of court shall hold any office or employment under a parish governing authority or school board, nor shall any member of any parish governing authority or school board hold any office or employment with any sheriff, assessor, or clerk of court.

"E. No person holding a full-time appointive office or full-time employment in the government of this state or of a political subdivision thereof shall at the same time hold another full-time appointive office or full-time employment in the government of the state of Louisiana, in the government of a political subdivision thereof, or in a combination of these.

"F. No person holding an elective office in any branch of state government shall contract, on a full-time basis, to provide health or health-related services for any agency of state government. No person engaged in a contract on a full-time basis, with any agency of state government to provide health or health-related services shall hold an elective office in any branch of state government."

## **FACULTY EVALUATION**

The Board of Supervisors for the University of Louisiana system requires each university under its jurisdiction to evaluate each faculty member on an annual basis. In addition to providing assistance to faculty members in performing professional duties, this evaluation process forms the basis for decisions concerning merit salary increases, retention, tenure, and promotion.

### **Criteria for Merit, Retention, Tenure, and Promotion**

It is not possible to establish, at the University level, detailed criteria for retention, tenure, promotion and merit for the many academic units in the University. The basic criteria are clear: excellence in carrying out the responsibilities of the position, and significant promise for continued achievement. The responsibilities of a faculty member include, but are not limited to, teaching, advising students, scholarly achievement, public service, and contributing to the department and the University. Regardless of how the relevant factors are weighed in a particular case, no faculty member will be granted tenure or promotion who does not meet the requirements for overall excellence based on performance of those responsibilities. Concerning merit, the head or dean of the college has the responsibility of weighing the different roles of each faculty member and evaluating strengths and weaknesses, taking into account the mission and needs of the department and University.

#### ***Teaching Effectiveness***

Teaching of the highest quality is given top priority at NSU in any assessment of a faculty member's overall performance.

All faculty are expected to be:

- (a) academically demanding in classes;
- (b) fully prepared, well organized, informative, and intellectually stimulating in teaching;
- (c) open to trying new teaching techniques;
- (d) most conscientious and prompt in evaluations of assigned student work during the term;
- (e) prompt in reporting of grades for students at the end of the term;
- (f) willing, outside of class, to discuss the special academic interests and problems which students may want to discuss; and
- (g) accessible, helpful, and responsible academic advisors.

**Methods of evaluation of teaching effectiveness**

- (a) Student evaluations of teaching: The NSU Student Survey of Instruction (**Appendix J**) is administered in every class in both Fall and Spring no earlier than the 12th week of the term. This questionnaire gives students an opportunity to express anonymously views of the course and the effectiveness of instruction.
- (b) Department Head or Dean evaluation: In addition to the method of presentation of the material, the Department Head or Dean ascertains the currency of course material, the mastery of the subject, the fitness of instructional objectives, and the appropriateness of class standards, using such evidence as classroom visits (at least one visit per academic year by the department head or dean; additional visits may be requested by the instructor), examination of grade distributions, course syllabi, examinations, assignments, and reading lists.
- (c) Student Appraisal of Academic Advising: The NSU Student Appraisal of Academic Advising (**Appendix I**) is administered during registration for both Fall and Spring terms. Appraisals are considered valid if signed by the advising faculty member after advising the student and before the student completes the appraisal form. Student appraisals are to be done immediately after advising and submitted by the student to a designated third party within the department.
- (d) Self-reported activities: The Faculty Activity Report (**Appendix C**) is filed annually. This report permits the description of new courses taught, revision of existing courses, innovative teaching projects, workshops, clinics, accomplishment of performance objectives, and other teaching-related activities.

***Scholarly and Professional Activities***

NSU is committed to its role as a "teaching institution," to developing a faculty composed of teacher-scholars. For effective teaching, it is essential that faculty be actively and continuously engaged in some form of scholarship, remaining a student of their discipline throughout their careers. Scholarship is at the heart of the teaching profession. Teacher-scholars keep abreast of their fields, maintain intellectual vigor, and retain excitement for their disciplines.

Research and other creative activities are absolutely indispensable for graduate education. For graduate students to understand, evaluate and, consequently, apply the results of research, they must be thoroughly familiar with research methods and procedures, an experience gained through active involvement in research problems. It is, thus, essential that graduate faculty be engaged in research because it is an essential part of the teaching of graduate students.

Considerable emphasis is placed at NSU on scholarly and professional activities. These include the following types of activities:

- (a) publication of books;
- (b) publication of articles in refereed journals;
- (c) invited articles in journals or anthologies;
- (d) book reviews;
- (e) publication of creative works such as novels, short stories, poetry, dramatic works, musical compositions, etc.;
- (f) professional performances in the performing arts and exhibition of works of art such as paintings, sculpture, etc. in juried shows or selective galleries;
- (g) development of new areas or levels of academic competence;
- (h) refereed or invited presentations at professional meetings; participation in professional seminars or symposia;
- (i) participation in professional seminars or symposia;
- (j) attendance at professional meetings and official duties in professional organizations;
- (k) professional development through workshops and short courses;
- (l) pursuit, receipt, and fulfillment of grants, scholarships, and fellowships;
- (m) serving as a referee on grants, books, and articles; and



- (n) campus wide lectures, performances, or art exhibitions.

### ***University and Public Service***

The success of governance, maintenance of academic standards, and the day-to-day workings of the University depend on faculty participation. An important part of the mission of the University is public service through training and educational programs, cultural activities, technical assistance, consulting, clinical services, and applied research. University and public service activities include:

- (a) service on departmental, college and university committees, and all other activities that contribute to the smooth functioning of the NSU academic program;
- (b) involvement in activities that promote and enrich the life of the NSU community;
- (c) recruitment of prospective students;
- (d) participation in an organizational capacity in local, regional, and national conferences and symposia;
- (e) service to professional organizations as an officer or committee member;
- (f) service on local, state, and national governmental boards; and
- (g) service to the general public through activities related to the faculty member's field of professional expertise or to the university's mission.

### **Evaluation Procedure**

At the beginning of each academic year, each faculty member and the Department Head or Dean will jointly develop the faculty member's performance objectives for the year. These performance objectives are developed with consideration of the individual's potential contribution to the goals of the department and the University.

During each semester of the calendar year in which a faculty member is employed, evaluation documentation is assembled by the Department Head or Dean into an evaluation file for the faculty member. Evaluation items must include student appraisals of teaching and may also include, as appropriate, faculty activity reports; Department Head or Dean evaluations of teaching based on classroom visits; evaluation by advisees; course syllabi, reading lists, examinations, and/or assignments; grade distributions; evidence of scholarly productivity, publications and presentations; comments of committee service by committee chairmen; and/or documents indicating community and professional service and contributions to the Department, College, and the University. Faculty submit course syllabi at the beginning of each semester. Students assess the instruction in every class taught during the academic year (see Appendix J, Student Survey of Instruction). Department Heads visit a class taught by each instructor at

least once each academic year and complete a Classroom Visitation Appraisal form (see Appendix A). Additional classroom visits may be requested by the instructor. During registration for the Fall and Spring terms, students complete a Student Appraisal of Academic Advising form (see Appendix I). Department Heads have periodic conferences with faculty to discuss evaluations in a constructive, formative manner.

In February, each faculty member completes an activity report, detailing professional activities during the previous calendar year (see Appendix C, Faculty Activity Report). The Department Head or Dean reviews the faculty activity report, the other evaluation documents assembled during the year, and the performance objectives developed at the beginning of the academic year and the previous academic year, since the calendar year overlaps two academic years. Based on this review of documentation, a written evaluation of the quality of performance of each faculty member is prepared. The evaluation report is placed in the evaluation file which is used by the Department Head or Dean as the basis of a recommendation concerning merit for the past academic year, and by the departmental/college Retention, Tenure and Promotion Committee as the basis of a recommendation concerning retention, tenure, and promotion.

### **Merit**

Upon completion of the evaluations in March, the Department Heads determine for each faculty member in the academic unit which of the merit rating classifications--no merit, merit, high merit, highest merit--best describes the faculty member's performance for the previous calendar year. The recommendations are forwarded to the College Dean for review. Merit ratings are forwarded from the College Dean to the Vice President for Academic Affairs. The Council of Deans, composed of the deans of all academic colleges in the University, meets with the Vice President for Academic Affairs to discuss evaluation. The College Deans and the Vice President seek to ensure that standards for merit applied by departments with comparable roles and missions are uniform. Final merit recommendations, as approved by the Vice President for Academic Affairs are forwarded to the President for approval and action. If the Board of Supervisors permits faculty salary adjustments and sufficient funds are available, faculty salary raises shall be awarded based, at least in part, on the merit category approved by the President.

#### ***Appeals Process for Annual Evaluation and Merit Recommendation***

A faculty member may seek a review if, in the perception of the faculty member, there is sufficient cause to question the annual evaluation or merit recommendation. During the evaluation interview, the faculty member shall discuss differences with the Department Head or Dean. If these issues are unresolved at the department level, the faculty member may then follow the grievance procedure for academic appeals described in this chapter. The process shall be completed by the end of each academic year.

### **Retention and Tenure**

Each department/college has written guidelines regarding their individual requirements for retention and tenure. A copy of these guidelines should be obtained from the Dean of the college supervising the individual faculty member's department.

All non-tenure track faculty shall be evaluated annually using criteria established by the college/department.

The Retention and Tenure, and Promotion committee in each department/college shall review the performance of each non-tenured, tenure-track member of the department annually. This review is completed before March 1 for faculty in the first year of employment, before December 15 for faculty in the second year of employment, and before the end of the Spring semester thereafter. The committee has access to the evaluation file prepared by the Faculty Department Head or Dean. The departmental Retention, Tenure, and Promotion Committee reviews the evaluative material and recommends to the Department Head or Dean either continued employment or termination of the faculty member. Termination is subject to review within the University (see Non-renewal and Termination), and subject to policies concerning notification; continuation is subject to policies concerning the maximum probationary period. The committee's recommendation along with the Department Head recommendation is forwarded to the College Dean. The College Dean's recommendation, together with that of the departmental Promotion and Tenure Committee and the Department Head, is forwarded to the Vice President for Academic Affairs. At all levels of the retention review process, applicants shall be kept apprised of decision outcomes.

Non-tenured faculty members should apply for tenure only toward the end of the probationary period (sixth year). Application for tenure should be made at the time the faculty activity report is submitted in February. Normally, faculty members are not considered for tenure until the end of the prescribed probationary period. The probationary period for tenure consideration in the Board of Supervisors for the University of Louisiana System is six years. However, the departmental Retention, Tenure and Promotion Committee may, in extraordinary cases, make a recommendation for tenure before the probationary period is complete. In this case, the recommendation must be accompanied by an accounting of compelling reasons for this action. Faculty members hired in January can be considered for tenure after five full calendar years. Faculty members initially employed at the rank of professor may be granted tenure upon appointment or, may be required to serve a probationary period not to exceed four years. Faculty members initially employed at the rank of associate professor shall serve a probationary period of at least one year, but no more than four years.

The above stated tenure policy shall supersede all existing policies with the following exceptions:

1. All persons holding tenure on the effective date of this policy shall retain their tenure.
2. Any person already employed at the University on the effective date of this policy shall be eligible to earn tenure under the terms and conditions of the policy in force and in effect at the time of that person's initial tenure-track appointment.
3. This policy shall in no way affect any rights acquired by any person employed by an institution prior to the effective date of this policy.

During the review of tenure applications, the tenure committee shall have access to the cumulative evaluation file for the applicant. After reviewing all applications and supporting material, the committee shall forward recommendations to the Department Head or Dean. Disapproval of tenure at the end of the probationary period is equivalent to recommending termination of the faculty member., The Department Head forwards recommendations for tenure or termination to the College Dean for his/her recommendation. When the tenure committee and the Department Head disagree, the College Dean will seek to resolve this difference. The College Dean forwards recommendations to the Vice President for Academic Affairs. The President shall make the final decision for the University, and his/her recommendation shall be submitted to the System President. Final authority for granting or denying tenure shall rest with the Board of Supervisors for the University of Louisiana System. Under no circumstances shall tenure status be achieved without specific action of the Board of Supervisors.

Upon request of the affected faculty member, negative departmental/college recommendations may be reviewed by the University Promotion Committee for a recommendation to the Vice President for Academic Affairs and the President.

### **Promotion**

Each department/college has written guidelines regarding their individual requirements for promotion. A copy of these guidelines should be obtained from the Dean of the college supervising the individual faculty member's department.

The Retention, Tenure, and Promotion Committee in each department shall review applications for promotion. The committee shall have access to the cumulative evaluation file for promotion applicants. Promotion applications are submitted with faculty activity reports in February. After reviewing the applications and supporting material, the committee recommends promotions to the Department Head or College Dean, in colleges without departments. The applications recommended for promotion which receive the Department Head concurrence are forwarded to the College Dean. Applications recommended for promotion which receive the College Dean's concurrence are forwarded to the Vice President for Academic Affairs. When all applications recommended by the departments and colleges are assembled, the Vice President for Academic Affairs will convene the University Promotions Committee. The Committee shall review the applications (See Appendix G, Promotion Evaluation Form) and recommend promotions to the Vice President. Recommendations approved by the Vice President will be forwarded to the President for approval.

At all levels of the promotion review process, applicants shall be kept apprised of decision outcomes. Faculty members may appeal decisions to the University Promotion Committee at any time during the review process.

### **Minimum Criteria for Promotion in Rank:**

**Instructor.** A person holding the rank of Instructor must possess the master's degree or generally comparable professional certification in his/her field of specialization. Appointment to the rank of instructor is renewable on an annual basis.

**Assistant Professor.** To be considered for promotion to the rank of Assistant Professor, a person must have: (1) demonstrated ability and professional promise in teaching, creative activity, scholarship and service; and (2) attained the minimum academic qualification of the master's degree in the field plus approved graduate work or a equivalent professional experience as determined by the appropriate department and college and the Faculty Committee on Promotion.

**Associate Professor.** To be eligible for promotion to the rank of Associate Professor, a person must possess an earned terminal degree appropriate to the individual's academic assignment (unless extraordinary service to the University and other significant credentials can be documented), and have at least five complete years of full-time teaching or academic support experience at the level of Assistant Professor; and must have given continued evidence of competency and promise in teaching, scholarship, research/creative activity, and service. Application can be made during the sixth year, at the faculty member's discretion.

**Professor.** To be eligible for promotion to the rank of Professor, a person must hold an earned terminal degree and have completed at least five years of full-time teaching or academic support service at the level of Associate Professor; must have made significant contributions to the achievement of the goals and purposes of the University; and must have an established record of distinguished teaching, scholarship and research/creative activity, and service. Application can be made during the sixth year as Associate Professor, at the faculty member's discretion.

The entire body of the applicant's professional life will be considered when promotion is at issue, although continued achievement must be demonstrated since the last promotion. Promotion considerations will focus on activities while employed by Northwestern State University, but past performance at other institutions will be considered when deemed relevant by the review committees. Time at rank at other universities or colleges may be counted toward the required years of experience listed above.

### **Levels of Rank**

Levels of academic rank recognize progressive levels of achievement and stature within the profession.

### **Procedure for Application for Promotion in Rank**

Each department/college has written guidelines regarding their individual requirements for promotion. A copy of these guidelines should be obtained from the Dean of college supervising the individual faculty member's department. The following procedures apply to all faculty seeking promotion in rank.

## **Part I**

A faculty member applying for promotion at Northwestern State University is expected to assemble a well-organized package of materials in support of the application so it can be reviewed with ease by the department or college promotion committee and the University Promotion Committee. These guidelines are designed to help an applicant assemble an application package. An applicant must assume the responsibility of submitting a complete and accurate package to the appropriate departmental or college promotion committee.

**A PROSPECTIVE APPLICANT FOR PROMOTION SHOULD READ CAREFULLY THE SECTION ON FACULTY EVALUATION IN THE FACULTY HANDBOOK.**

Ideally, any faculty member who expects to apply for promotion should begin collecting the supporting materials described below upon being hired by the University. These materials should be filed in one place, making them readily available for review if promotion in academic rank is requested.

Although the various departments and divisions may have slightly different criteria for determining whether to recommend a faculty member for promotion, the University Promotion Committee employs an evaluation form to rate the applicant in three areas:

1. teaching;
2. research, scholarship, and creative work; and
3. professional service activities.

An applicant should keep these three areas in mind when preparing the application and supporting materials. A serious deficiency in any one of these areas will reduce the likelihood that the applicant will be recommended for the requested promotion. A promotion is not given on the basis of longevity at Northwestern but for substantial accomplishments in the listed areas.

The term "teaching," as it is used throughout this procedure, refers to the primary work of all faculty who are eligible for both promotion in academic rank and tenure. Included in this definition are the classroom teaching faculty, librarians, and others on whom faculty status has been conferred. Individuals other than the classroom teaching faculty presently have their primary work evaluated under section 1 a. (2) Other Teaching-related Activities of the Faculty Activity Report now in use.

Applicants for promotion should first submit their applications and all supportive materials to their departmental or college promotion committees. These materials should be assembled in a maximum of two large ring binders. Any additional materials, or those that will not fit in these binders, should be kept by the applicant and supplied to the University Promotion Committee as requested. Applicants requiring assistance should consult with the chairperson of the University Promotion Committee who can advise them on presentation of their materials.

A special meeting will be held for all prospective applicants for promotion within two weeks after the beginning of each fall semester, at which time the Vice President for Academic Affairs and the chairperson of the University Promotion Committee will discuss the procedures for applying for promotion and will answer questions about the process.

An application submitted to the University Promotion Committee should contain the following, in the order given:

1. A copy of the checklist of items (see Appendix N), signed by the applicant and the chairperson of the departmental or college promotion committee attesting to the completeness of the application.
2. A completed copy of form C (available from the office of the Vice President for Academic Affairs), signed by all members of the department or college promotion committee and the department or division head after evaluating the application.
3. A letter from the department head or coordinator explaining reasons for the recommendation. (Note: Department heads cannot recommend themselves for promotion; those recommendations must come from the appropriate dean. A dean applying for promotion must apply directly to the Vice President for Academic Affairs).
4. Letters from external evaluators written in support of the applicant's candidacy may be enclosed when appropriate. Applicants holding joint academic appointments must submit letters of support from all appropriate departmental or divisional chairpersons, even though applicants submit their credentials to the department or division that holds the majority of supervisory authority.
5. A signed copy of the recommendation of the department or college promotion committee, giving that committee's reasons for recommending the candidate.
6. Signed copies of any letters initiated by the candidate in support of promotion (such letters may be contrary to the recommendations made by either the department or division promotion committee, by the head of the department, or by the approving dean).
7. A concise narrative by the applicant, summarizing accomplishments.
8. A complete and current copy of the applicant's curriculum vitae.
9. Copies of the following since the beginning of employment at Northwestern State University or since the date of the last promotion at this university.
  - a) All annual activity reports.
  - b) All student evaluations for every course taught.

- c) Annual evaluations by department head/coordinator or dean
10. Any other materials that give clear evidence of the quality and efficacy of the applicant's teaching.
  11. Copies of books, articles, reports, reviews, syllabi of courses, grant proposals, and papers delivered at professional meetings indicating the applicant's research and scholarship. An applicant in the creative and performing arts should include (for example) programs, reviews, videotapes, exhibition catalogs, fliers, and other materials that provide evidence of accomplishments. Although a manuscript submitted for publication counts as research, it DOES NOT constitute a publication unless the manuscript has been accepted for publication and proof of acceptance is submitted.
  12. Letters of commendation, newspaper articles, grant proposals, evidence of recruiting activities, departmental or divisional and university committee work, sponsorship of student organizations, and other materials documenting the applicant's professional service activities.
  13. Any other material directly relevant to the application.

## **Part II**

The following is a step-by-step description of the entire promotion procedure and a calendar of critical dates.

### **CALENDAR OF EVENTS IN THE PROMOTION PROCESS**

- August: Prospective promotion applicants meet with Vice President of Academic Affairs and Chair of Promotion Committee, usually on the day of the Faculty Institute.
- October: Faculty Senate appoints new member(s) of the Promotion Committee.

February/March: Departmental and college promotion committees meet to review applications and make recommendations.

- March: Promotion Committee meets to discuss guidelines and procedures for reviewing applications and for orientation of new Committee members.
- 
- April 1 (or the first Working day Thereafter): Promotion Committee receives applications from the Vice President of Academic Affairs's Office. Committee members review applications during April and meet toward end of month to arrive at recommendations to be forwarded to the Vice President of Academic Affairs no later than May 1 or the first working day thereafter. Promotion Committee provides to candidates who are not recommended for promotion reasons for a negative judgment along with specific suggestions on what needs to be done to correct deficiencies, thus



strengthening the applicants' chances of receiving a positive recommendation in the future.

1. Applicants who have carefully evaluated their eligibility for promotion in academic rank meet with the Academic Vice President and the Chairperson of the University Promotion Committee within two weeks after the beginning of the Fall Semester.
2. By October 1, the Faculty Senate appoints new member(s) to the University Promotion Committee.
3. By February 1, all applicants for promotion must notify their department or college dean, in writing, of their intention to apply for promotion and specify the desired academic rank.
4. By February 10, all applicants must submit their application for promotion to their department head/coordinator or dean, who shall immediately convene the department or college Promotion and Tenure Committee, and hand over to that committee the application for promotion and any other relevant documentation. If an ad hoc committee must be convened, it shall be the responsibility of the department head/coordinator to notify the dean of that necessity. The composition of the ad hoc committee is described in Chapter One, Departmental/College Committees.
5. When the department or college promotion committee (the ad hoc committee will be regarded as one of these, henceforth) has reached its decision, the chairperson of the committee will notify both the department head or dean, as well as the applicant, of the committee's decision in writing. If the decision is not to recommend for promotion, specific reasons will be given. At this juncture the applicant must be given the opportunity to respond in writing to any and all negative comments and evaluation statements before the evaluation file can be considered complete. The applicant shall have a term of ten (10) working days to prepare the response. At this time the applicant also has the options of withdrawing the application altogether or allowing it to go forward to the next level of review authority. Notification must be received within five (5) working days.
6. The department head must then write a letter to the appropriate dean that either endorses the findings of the promotion committee or offers justification for an opinion that differs from that of the promotion committee; i.e., the head may agree with the candidate's reasons for justifying promotion, should the applicant and the promotion committee be at odds. The recommendation of the department head/coordinator, along with the recommendation of the promotion committee and all supporting materials, must then be sent to the appropriate dean under the cover of Form C, part one.
7. When the faculty member and committee are at odds, the appropriate dean has three options.
  - a. The dean may choose to write a letter in support of either the promotion committee or the department head/coordinator; or

- b. The dean may choose to write a letter supporting the opinion of the individual faculty member; or
- c. The dean may choose not to support either, and merely indicate that the application has been reviewed by signing the "No Action Taken" line on Form C, part two.

If, however, the dean chooses to write a letter that does not support the candidate's request for promotion, the candidate shall again have the right to write a letter supporting reasons for promotion. The candidate shall again have a term of ten (10) working days to prepare the response.

8. The appropriate dean must then send all forms, correspondence, and credentials, to the office of the Vice President for Academic Affairs before, but no later than April 1.
9. The Academic Vice President will then see that all applications are delivered without delay to the Chairperson of the University Promotion Committee; that committee will have the remainder of April to review all applications for promotion. Any applicant whose application is not affirmatively endorsed by the University Promotion Committee must be notified in writing by the chairperson, and specific reasons for the negative recommendation must be cited. Courtesy copies of this notification letter must be sent to the appropriate dean and department head/coordinator.
10. Applicants receiving notification of a negative judgment shall have the option of withdrawing their applications.
11. The University Promotion Committee will present its recommendations to the Academic Vice President on May 1, without fail. The Academic Vice President shall immediately thereafter present recommendations to the President of the University. The ultimate decision for promotion rests with the Board of Supervisors. This decision will be communicated to the faculty member as soon as possible.

### **Rank Distribution**

Special care shall be exercised in assigning faculty ranks to new appointees and in making promotions in rank from year-to-year. The following table provides guidelines on assignments of rank within each institution, as recommended by the Board of Supervisors:

Academic Rank of Professor: Typical Range 20-30%, Maximum Range 35%

Academic Rank of Associate Professor: Typical Range 25-35%, Maximum Range 35%

### **Evaluation of Department Heads**

Promotion and tenure decisions for Department Heads are determined by the policies described above. Performance of administrative duties is evaluated by the faculty, the College Dean, the Vice President for Academic Affairs, and the President. Faculty members shall complete an

annual questionnaire (see **Appendix B, Evaluation of Administrative Personnel**) which provides an opportunity to express anonymous views of the effectiveness of management and leadership skills of the Department Head/Coordinator.

### **Evaluation of College Deans**

College Deans are evaluated annually by faculty and staff within the reporting unit. The faculty and staff shall complete an annual questionnaire (see Appendix B, Evaluation of Administrative Personnel) which provides an opportunity to express anonymous views of the effectiveness of management and leadership skills of the College Dean.

## **NONRENEWAL AND TERMINATION**

### **Non-Tenured Faculty With The Rank of Instructor (on continuing appointment) or Above**

An appointment carries no assurance of reappointment, promotion, or tenure. Reappointments are made solely at the discretion of the institution with the approval of the Board. The non-reappointment of a faculty member does not necessarily reflect on the faculty member's work record or behavior. The determination to reappoint, or not to reappoint, should be based upon a review of the specific conditions relating to the position and the faculty evaluation procedures specified in this chapter. When a faculty recommendation or decision not to renew an appointment has first been reached, the faculty member involved will be informed in writing. As specified in the section on faculty evaluation procedures, the faculty member may request a review of the decision by the University Promotion Committee. The grievance procedure specified in this chapter can also be utilized. Unless an appointment is of a temporary nature for a fixed term, notice that a probationary appointment is not to be renewed shall be given to the faculty member in advance of the expiration of the appointment as follows:

1. Not later than March 1 of the first academic year of service if the appointment expires at the end of that year; or if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than December 15 of the second academic year of service if the appointment expires at the end of that academic year, or at least six months in advance of its termination.
3. At least 12 months before the expiration of an appointment after two or more years of uninterrupted service at the institution.
4. Instructors on fixed-term appointments (specifying beginning and ending dates), lecturers, and other special appointees are employed on term contracts and are not covered by 1, 2, and 3 above. Non-tenured faculty may be terminated before the end of their term of appointment for cause, subject to the same procedures and policies regarding termination for cause that apply to tenured faculty, as specified below.

### **Tenured Faculty**

Tenured faculty may be terminated for cause. Cause for discharge, termination of contract, or demotion in rank shall consist of conduct seriously prejudicial to the college or university system such as infraction of law or commonly accepted standards of morality, failure to follow proper orders, violation of institutional or Board rules and regulations, neglect of duty, incompetence, or other conditions that impair discharge of duties and the efficiency of the institution. Financial exigency also constitutes cause. The foregoing enumeration of cause shall not be deemed exclusive. However, action to discharge, terminate, or demote shall not be arbitrary or capricious, nor shall it infringe upon academic freedom.

The President shall appoint a committee of faculty members who shall hear charges against the faculty member being considered for termination for cause. The President or his designee will provide a written statement of charges, framed with reasonable particularity, to the faculty member and the committee. The committee will provide an opportunity to the faculty member to respond to the charges, in writing or orally. The committee will forward its findings and recommendation to the President who shall make the final determination. Further appeals by the faculty member shall be in accordance with the Grievance procedures described in this chapter.

The member of the faculty who has exhausted due process procedures at the University level may petition the Board of Supervisors within 30 days when the institution is in session for a review and no official action shall be taken by the institution until a final determination is made by the Board.

### **Post-Tenure Review**

Achievements of the faculty, students, administration and various entities that serve a number of extended constituencies demonstrate Northwestern State University's commitment to quality. It is imperative that **all parties** be encouraged to maintain and even extend this exceptional level of performance.

In regard to faculty, a post tenure review process has been mandated by the University of Louisiana System Board (\*Policy Number FS-III.X.D-1, *Review of Faculty Ranks*). The assumptions are that a post tenure process will enable the institution to meet the following objectives:

1. Maintain a viable, active, intellectually productive faculty;
2. Be accountable for those characteristics to state agencies;
3. Ensure a stable, intellectually challenging environment;
4. Assure academic freedom;
5. Assure fairness of administration of review processes; and,
6. Provide assistance to remediate identified deficiencies.

A further assumption is that a definition of satisfactory performance and of unsatisfactory performance rests with the tenure granting entity within the faculty member's academic unit (Department, School, College, or other). It is imperative that the post-tenure review process be defined by serious commitments to academic freedom and to open communication between

faculty and administration and that the process of remediation and, if necessary, the dismissal of faculty be undertaken only in cases where no alternative option is left available. Nothing about this document and this policy process will be construed to diminish the right of a faculty member or group of faculty members to challenge the legality of any University policy or action; or to diminish any other legal rights of faculty.

Northwestern State University's process for post-tenure review will use the annual faculty evaluations and academic unit processes related to merit, promotion, and tenure that are currently in place to address the post tenure review. Following the University of Louisiana System's Policy and Procedures Memorandum *\*Review of Faculty Ranks*, the following policies will be implemented:

1. All faculty members will be evaluated annually by the appropriate supervisor (department head, director, or dean) with a review by the dean. The evaluation will be based on the faculty member's job responsibilities.
2. The annual evaluation of faculty members will include a category defining unsatisfactory performance (FS-III.X.D-1). The committee or person that establishes merit criteria will also establish unsatisfactory performance criteria.
3. If a tenured faculty member receives two consecutive unsatisfactory reviews or three unsatisfactory reviews in a five-year period, **mandatory** remedial actions will be activated.
  - a. The faculty member, in conjunction with the supervisor and dean, will develop a plan for remediation. If agreement is not reached, a committee composed of the tenured faculty in the unit (or the established tenure committee for that unit) **will** develop an alternate plan of remediation.
  - b. If this plan is not agreed upon by the faculty member, the supervisor and the dean, the matter will be referred to the Vice President of Academic affairs. The VPAA will determine the final provisions of the plan based on the recommendations of the supervisor and dean and a **Peer Review Committee** comprised of tenured faculty in the unit. This Peer Review Committee will be chosen by a panel of the tenured faculty with primary appointment in the same academic unit and at the same or higher rank as the faculty member in question, but not including the supervisor, dean, or the faculty member. When the Peer Review Committee is established, notification will be sent by the supervisor and dean to the VPAA. The Peer Review Committee will be comprised of three tenured faculty members who meet the above criteria. If a Committee of three cannot be established, tenured faculty member(s) will be invited from outside the unit. The outside member(s) will be nominated by the tenured faculty members but are subject to approval by the VPAA. Before granting approval, the VPAA must afford the faculty member the right to challenge a nominee for cause, the final decision resting with the VPAA.

- c. Once in remediation, an annual evaluation of performance is conducted by the supervisor utilizing the remediation plan as a basis for the evaluation. The faculty member may receive merit consideration during remediation.
- d. If significant improvement in performance is not achieved after a minimum of two years of remediation, a recommendation for dismissal is made. This triggers a review by tenured faculty in the unit. The Peer Review Committee of tenured faculty, acting independently of the supervisor and dean, will review the supervisor's evaluation and recommendation; offer to hold a conference within two weeks' notice with the faculty member; gather additional information at its discretion; and write an evaluation of the faculty member's job performance, including specific suggestions and advice for any needed improvement, to become part of the faculty member's file. If the Peer Review Committee's report does not support the supervisor's finding of unsatisfactory job performance, then the supervisor is free either to withdraw the finding and revise the chair's evaluation accordingly or to persist therein.
- e. If the determination is made that performance during the remediation period remains unsatisfactory, a termination letter will be issued by the VPAA Academic Vice President after consulting with the University President. This letter grants employment for the next academic year, with termination at the end of that year.
- f. If the determination is made that satisfactory performance is achieved, the situation reverts to the *status quo ante*. That is, if there is a subsequent finding of unsatisfactory job performance, the first subsequent finding of unsatisfactory performance will be regarded as a new finding.

The timeline for this process is as follows:

1. Faculty evaluation is conducted annually during the spring semester, as required by the faculty handbook.
2. Faculty member is notified of unsatisfactory rating by supervisor using the timeline delineated in the faculty evaluation process.
3. Faculty member submits remediation plan to supervisor by the end of the second week in April.
4. If agreement is not reached, the Peer Review Committee is convened and submits a plan by the end of April.
5. The faculty member may appeal this plan to the VPAA by May 15<sup>th</sup>. A remediation plan is developed by the end of June.

6. The remediation period begins in September of the evaluation year.
7. A review of remediation progress is made in the spring semester and remediation is continued for the next academic year.
8. If acceptable progress in correcting identified deficiencies is not made by March 1 of the second year of remediation and termination is required, a termination letter is issued by March 15<sup>th</sup>, unless a third remediation year has been approved by the Peer Review Committee.

\*<[http://www.uls.state.la.us/site100-01/1001055/docs/ppm\\_review\\_of-faculty-ranks.pdf](http://www.uls.state.la.us/site100-01/1001055/docs/ppm_review_of-faculty-ranks.pdf)>

## PERSONNEL RECORDS

### Record Maintenance

The records necessary to support personnel management are important and should be accurately maintained. Maintenance includes systematic and timely placement of the necessary records into the files, systematic exclusion of extraneous records from the file, and constant monitoring of necessary changes to keep all files current. The records and the appropriate office of domicile are as follows:

#### **Business Affairs - Human Resources Section**

(a) original approved request to advertise position; (b) original approved request to appoint; (c) job description, (d) appropriate pages of Personnel Record; (e) letter of appointment; (f) original annual contracts; (g) employment status changes, if any; (h) required payroll related documents.

#### **College Dean**

(a) copy of approved request to appoint; (b) resume; (c) official transcripts; (d) copy of annual contracts; (e) appropriate pages of Personnel Record.

#### **Director, Department Head**

(a) work assignments; (b) faculty activity reports and evaluations; (c) documentation of formal and informal conferences, if any, relating to employment; (d) documentation, if any, of employee's activities, laudatory and derogatory; (e) signed derogatory or accusatory letters, if any; (f) any refutation by the employee of derogatory or accusatory documents.

#### **EEO/AA officer**

(a) copy of approved request to advertise position; (b) job description; (c) job advertisement; (d) copy of approved request to appoint; (e) distribution plan for advertising position; (f) analysis of efforts to fill position; (g) applicant profile chart; (h) letter of application, resume, letters of recommendation, and copy of transcripts for the successful candidate.

The application files, including letter of application, resume, letters of recommendation, and transcripts, for unsuccessful candidates will be kept for one year.

Temporary appointments require a written justification and beginning and ending dates.

Prior to placing any signed derogatory or accusatory letter or document into a personnel file, notice should be given to the employee and an opportunity to respond in writing if so desired. In all cases, the responses will be attached to the derogatory or accusatory letter.



Employees are responsible for providing pertinent documents for their personnel files. Records are to be maintained in the official locations under the supervision and maintenance of appropriate designated employees.

**Access to Records**

Personnel files are to be used only by appropriate University officials in the execution of the business of the University. Each individual employee shall have the right to inspect and duplicate the file pertaining to that individual during normal business hours of the University but in the presence of the appropriate official or the designee. At no time shall the individual be permitted to remove materials from the file or alter the file. Statements by the individual relative to the contents of the file may be added to the file.

## ATTENDANCE AND LEAVE RECORDS

### Normal Business Hours and Work Day

The university's official business hours are 8:00 A.M. to 12:00 Noon and 12:30 P.M. to 4:30 P.M. for each workday Monday through Friday. Unless otherwise specified in an employee's work assignment, the official workday is to be maintained.

Leave, overtime and/or compensatory time is to be requested, reported taken and earned in accordance with applicable university policy and procedure.

### Work Schedules

In an effort to better accommodate and assist university employees with their assigned work hours, the following work schedules are offered and are to be selected by each non-9 month faculty annually, effective July 1 of each year. Under extraordinary conditions, as approved by the appropriate Vice President, an employee's schedule may be changed during a fiscal year.

The following standard work schedules are available:

1. 8:00 a.m. to 12 noon and 12:30 p.m. to 4:30 p.m. Monday through Friday with 30 minute lunch period.
2. 8:00 a.m. to 12 noon and 1:00 p.m. to 5:00 p.m. Monday through Friday with 60 minute lunch period.
3. 7:30 a.m. to 12 noon and 1:00 p.m. to 4:30 p.m. Monday through Friday with 60 minute lunch period.

Once an assignment is made, an employee is required to work that schedule until a change is approved through the normal approval route. The work schedule may not be used to effect a daily flexible schedule. Once a schedule is assigned, the employee is required to submit for approval a "Request for Leave" for any hours of work missed and/or leave taken in accordance with applicable policies, procedures, and directives. The standard work schedule does not preclude other schedule arrangements. Begin times, lunch periods, and end times may be arranged within 15 or 30 minute intervals to effect regularly scheduled begin times, lunch periods, and end times. The 15 to 30 minute interval will provide supervisors the ability to accommodate office hours for the lunch period and office schedules as an extension of the Standard Work Schedules without special consideration. If a schedule other than those listed above with the 15 or 30-minute interval allowances is requested, it must be approved through the employee's approval route and also have the appropriate Vice President's approval prior to becoming effective.

The Standard Work Schedules do not change the university's current official business hours. Offices may have business hours different from the official business hours if approved through the applicable approval route. These schedules do not preclude a supervisor making assignments to employees to accommodate office hours or other assignments on a rotating basis as required for the efficient operation of the university.

Nine (9) month faculty, graduate assistants, adjunct instructors and lecturers, and student employees are assigned work loads in accordance with applicable university policy and procedures. Assignments are required to be on file in the respective budget unit office and other offices as required by university policy and procedures.

### **Holidays and Closures**

In accordance with Louisiana Revised Statute 1:55F which reads:

**"Each institution of higher education in the state, through a representative appointed it, shall designate a maximum of fourteen legal holidays per calendar year to be observed by all of its employees."**

Each year the President designates legal holidays that fall when classes are in session to holiday periods when classes are not in session.

For closure days, not legal holidays, employees must use earned annual and/or compensatory leave. Non-annual leave earning faculty use faculty leave for closure days. Employees who do not have enough earned annual and/or compensatory leave and for employees that do not earn leave, leave without pay must be taken. Employees providing essential services may be scheduled to work during legal holidays and closures.

When one or more legal holidays or half-legal holidays fall on a full-time employee's regular day off, his holiday shall be the closest regularly scheduled workday preceding or following the legal holiday, as designated by the university. Employees whose regular work hours do not fall in the time period, or fall only partly within the time period of the legal holiday, shall receive a number of hours equivalent to the legal holiday through appropriate compensatory time or over-time for the employee's class of employment. Part-time employees having a regular work schedule will receive benefits in a similar manner as full-time employees except that their benefits will be prorated to the number of hours normally worked.

Annually the President, during the fall semester, will provide to the budget unit heads and employees a university schedule for observing holidays and other planned closures to assist in planning holidays, vacations and work schedules. The designated holidays will be designated in accordance with the university's academic calendars developed by the university's Calendar Committee.

### **Flexible Work Schedule**

The Board of Supervisors for the University of Louisiana System specifically prohibits the use of leave, specifically compensatory leave, to effect a flexible work schedule. An employee that is away from his/her assigned tour of duty for 2 hours in the morning, cannot simply work 2 hours in the evening. The appropriate leave for the 2 hours while away from the assigned tour of duty and approved compensatory hours earned for the 2 hours worked in the evening must be recorded in accordance with applicable university policies and procedures.

An employee that is on a flexible work schedule shall have for the flexible period a work schedule approved by the appropriate supervisor, budget/division head and vice president or record leave taken and compensatory time earned in accordance with appropriate policies.

### **Unclassified Staff Attendance and Leave**

#### **Definitions**

1. **Faculty leave** is leave granted to faculty members employed on the 9 month (academic year) basis in lieu of annual leave and is comprised of the days between terms and at holiday periods when students are not in classes. This special form of leave shall be taken as it is earned.
2. **Annual leave** is leave with pay granted to unclassified 12-month employees for the purpose of rehabilitation, restoration, maintenance of work efficiency, or attention to other personal concerns.
3. **Sick leave** is leave with pay granted to an employee who is suffering with a disability which prevents him/her from performing his/her usual duties and responsibilities or who requires medical, dental, or optical consultation or treatment.
4. **Compensatory leave** is leave hours accrued and used by unclassified employees (12-month) for work and duties performed in excess of the normal 40-hour work week. Compensatory leave shall be earned and taken in accord with rules adopted by the Board of Supervisors for the University of Louisiana System.

#### **Compensatory, annual, and sick leave cannot be used in advance of being earned.**

### **Work Weeks, Attendance, and Leave Records for Unclassified Employees**

1. For purposes of leave, appointing authorities shall establish work weeks of 40 hours per week for full-time employees. The purpose of establishing the 40-hour week is to provide appointing authorities a system of accounting for/the taking of leave. It is understood that some faculty work is done outside the office such as the library and laboratories as well as off-campus sites.
2. For purposes of leave, appointing authorities shall establish work weeks proportionate to the provisions of the previous paragraph for part-time employees.
3. Daily attendance and leave records shall be maintained for all unclassified employees. The Board may, in the exercise of its discretion, adopt an attendance form designed to indicate that academic personnel were either present or absent from their usual duty posts during the unusual working day for such personnel. These records shall be signed by the employee and the supervisor and reported at least monthly to the appropriate office at the end of each regular pay period.

### **Daily Attendance and Leave Records**

To comply with provisions of the Board of Supervisors for the University of Louisiana System Rules, the university has, for the unclassified staff, developed the NSU Daily Attendance and Leave Report. It is the daily report of hours spent on and/or off duty for each unclassified staff employee.

For Faculty, the university has developed the Faculty Leave Report.

The Request for Leave form has been developed for employees use in making application for any type of leave.

Instructions for completion of the NSU Daily Attendance and Leave Report for Unclassified (Annual Leave Earning) Employees can be found in and Section X-20 of the University Fiscal Policy and Procedure Manual; the Faculty Leave Reports can be found in Section X-12 of the University Fiscal Policy and Procedure Manual; the Part-Time and Other Faculty and Employee Leave Reports can be found in Section X-26 of the University Fiscal Policy and Procedure Manual; and the Request for Leave form can be found in Section X-22 of the University Fiscal Policy and Procedure manual.

**Faculty Leave for Employees on Other Than 12-Month Basis**

1. Faculty leave shall be earned by each eligible faculty member who is employed for the academic year and has a regular tour of duty.
2. Faculty leave shall be earned and taken as it is earned as specified by the official calendar of the institution served.

**Annual Leave for Unclassified Staff**

1. Annual leave shall be earned by each eligible employee who has a regular tour of duty. Personnel not employed on a continuing basis (temporary employees) shall not earn annual leave.
2. Annual leave earned shall be based on the equivalent of years of full-time state service and shall be creditable at the end of each pay period or calendar month in accordance with the following general schedule:

| DAYS OF ANNUAL LEAVE EARNED PER MONTH BY UNCLASSIFIED FULL-TIME EMPLOYEES |                |                    |                     |                      |                 |
|---|----------------|--------------------|---------------------|----------------------|-----------------|
| Years of service  | Less than 3    | 3, But less than 5 | 5, But less than 10 | 10, but less than 15 | 15 And Over     |
| Days(hours) of Leave Earned Per Mo.                                       | 1<br>(8 hours) | 1 ¼<br>(10 hours)  | 1 ½<br>(12 hours)   | 1 ¾<br>(14 Hours)    | 2<br>(16 hours) |

3. No 12-month unclassified employee shall be credited with annual leave for any calendar month:

- a. until completion of that calendar month as an employee; or
  - b. during which the employee was on leave without pay for ten or more working days; or
  - c. while serving in the military.
4. Accrued unused annual leave earned by an employee shall be carried forward to the succeeding years without limitation.
5. When an employee changes his/her position from one state agency to another, his/her accumulated annual leave shall be forwarded to the new agency and shall be credited to him/her.
6. Legal holidays, state-designated holidays, days of local conditions and celebrations, and similar periods when designated, announced, and observed by the institution, shall not be charged to annual leave.
7. Annual leave shall be applied for in advance by the employee and may be taken only when approved by the appointing authority. Requirements concerning the use of annual leave include the following:
  - a. An appointing authority may require an employee who has sufficient annual leave to his/her credit to take annual leave whenever the authority feels that it is best for the employee or the appointing authority.
  - b. Except when given special advance approval for absence from duty, an employee must be at his/her work station for the day in order to be classified as on duty. A work station normally will be one's office or elsewhere on the employer's premises, or at other locations while representing the employer.
  - c. Upon resignation, death, removal, or other termination of employment of an unclassified employee, annual leave amounting to the same maximum as is provided for members of the classified service of the state by the Civil Service Commission and approved by the Governor, and accrued to his/her credit shall be computed and the value thereof shall be paid to the employee or the heirs, provided that the annual leave has been accrued under established leave regulations and attendance records have been maintained for the employee by his/her supervisor. Such pay shall be computed at the employee's base rate of pay at the time of termination.
8. Annual leave shall be charged on a half hour basis.

**Sick Leave for All Unclassified Employees**

Sick leave for unclassified employees shall be earned by each employee who has a regular tour of duty. The earning of such leave shall be based on the equivalent of years of full-time state

service and shall be creditable at the end of each calendar month in accordance with the following general schedule:

| DAYS OF SICK LEAVE EARNED PER MONTH BY<br>UNCLASSIFIED FULL-TIME EMPLOYEES |                |                    |                     |                      |                 |
|--|----------------|--------------------|---------------------|----------------------|-----------------|
| Years of service   | Less than 3    | 3, But less than 5 | 5, But less than 10 | 10, but less than 15 | 15 And Over     |
| Days(hours) of Leave Earned Per Mo.  | 1<br>(8 hours) | 1 ¼<br>(10 hours)  | 1 ½<br>(12 hours)   | 1 ¾<br>(14 Hours)    | 2<br>(16 hours) |

1. No unclassified employee shall be credited with sick leave for any calendar month:
  - a. Until completion of that calendar month as an employee (except that 9-month faculty employed during the summer shall accrue sick leave prorated during the actual weeks of employment. For example, a faculty member employed for 9 weeks in the summer shall be credited with 2 1/4 days).
  - b. During which the employee was on leave without pay for 10 or more working days.
  - c. While serving in the military.
2. Accrued unused sick leave earned by an employee shall be carried forward to the succeeding years without limitation.
3. When an employee changes his/her position from one state agency to another, his/her accumulated sick leave shall be forwarded to the new agency and shall be credited to him/her.
4. Sick leave with pay may be taken by an employee with sufficient leave to his/her credit for the following:
  - a. Illness or injury which prevents performance of his/her work duties.
  - b. Medical, dental, or optical consultation or treatment.

Employees cannot use their earned sick leave when attending to or assisting with illness and/or medical related conditions for any immediate family member, unless approval for such use of leave is approved under the Family and Medical Leave Act.

Prior approval for use of earned sick leave is not required, but it is requested that the affected employee notify their supervisor immediately upon discovery of such need for use of leave (if known before actual date of need) and/or provide notification immediately upon return to work if advance notice of such illness, treatment, etc., was not known in advance. An employee who has taken sick leave shall file with his/her budget unit

head/supervisor, a certificate stating the cause of absence and the amount of leave time taken or to be taken. The certificate is the "Request for Leave" form.

Sick leave should be regarded as a privilege and the administration of these benefits should be designed to ensure the integrity of the system through proper controls to detect and eliminate any abuses by employees. Indications of frequent short period absences, leave before or after holidays or pay days as a regular pattern without proper justification serve as cases which may warrant investigation. The budget unit head/supervisor may require a statement from a registered physician or some other acceptable proof that the employee was ill and unable to report to work and attach to the Request for Leave form.

5. There is no minimum charge for sick leave. It is to be charged on an hourly basis.
6. The employee may use sick leave for maternity purposes when her postnatal or prenatal condition prevents the performance of usual duties, provided the employee has sufficient sick leave credit. The limit to the use of sick leave for a postnatal condition shall be six weeks unless a physician certifies the employee's inability to return to work.
7. Upon death or retirement of an unclassified employee, sick leave accrued to his/her credit shall be computed and the value thereof shall be paid to the employee or heirs, provided that the sick leave has been accrued under established leave regulations and a daily attendance record has been maintained for the employee by his/her supervisor, except that such payment shall not exceed the value of 25 working days computed on the basis of a five-day week and on a four-week per month basis for personnel employed on less than the 12-month employment basis and on the basis of a five-day week and 52-week year for 12-month employees. The rate of pay shall be computed using the base rate the employee is receiving at the time of termination.
8. For description of Northwestern State University's policy on shared sick leave, see Appendix O.

### **Compensatory Leave for Unclassified (Annual Leave Earning) Staff**

In accordance with the Board of Supervisors for the University of Louisiana policy, the following is the university's policy for unclassified (annual leave earning employees) professional staff.

Unclassified (annual leave earning) employees/professional staff are hired on an annual basis and are not compensated for extra work beyond the normal forty (40) hour work week.

The normal business on a university or college campus is not restricted to the forty (40) hour work week observed by state agencies. On the contrary, many functions and activities occur in the evening hours and weekends when many unclassified employees are required to attend.

In order to more appropriately compensate unclassified (annual leave earning) professional staff for work performed, the following policy is established regarding the accrual and use of compensatory leave.



- A. An appointing authority may require an employee to work overtime on a holiday or at a time that the employee is not regularly required to be on duty. Compensatory leave may be granted for overtime hours worked outside the regularly assigned 40-hour work week, or when the employee has not worked in excess of 40 hours due to holidays observed or leave taken. Earning of compensatory leave must have prior approval of the immediate supervisor and the appropriate vice president. The amount of such leave shall be equal to the number of extra hours the employee is required to work.
- B. Compensatory leave shall not be earned by the following employees: presidents, vice presidents, deans, athletic directors, and athletic coaches. Exceptions may be made to permit these employees to be exempted from having to take leave when the university is officially closed. Such exceptions shall be included in the appointment letter of the individuals involved. In all events, any employee who is entitled to earn compensatory leave under the Fair Labor Standards Act shall earn such leave in accordance with Civil Service Rules and regulations.
- C. Compensatory leave shall promptly be credited to the employee and may be used with the approval of the immediate supervisor and the appropriate vice president. Not more than 240 hours of accrued unused compensatory leave shall be carried forward into any fiscal year. An appointing authority may require employees to use their earned compensatory leave at any time. An employee will not be paid the value of his/her accrued compensatory leave upon separation from his/her unclassified position.
- D. In the event that an employee transfers without a break in service to another position within the State service, compensatory leave may be credited to the employee at the discretion of the new appointing authority. Compensatory leave shall be terminated when an employee separates from State service.
- E. Compensatory leave should not be confused with a flexible time policy. Employees cannot arbitrarily determine their own work schedules. In addition, work undertaken while at home does not constitute the earning of compensatory time.
- F. The manner in which this compensatory leave policy is administered shall be at the discretion of each individual campus (i.e., type of record maintained). The president of the institution or his/her designee will be responsible for administration of this policy.

### **Faculty and Unclassified Staff Leaves of Absence**

- A. Application Procedure. An individual requesting a leave of absence shall make application at the institution and, with the recommendation of the institution president, it shall be forwarded to the System President for Board consideration.
- B. Exclusion. An employee of an institution who is not a member of the faculty or administration is not governed under the Board's policy on leaves of absence for faculty members.

- C. Length of Leaves. Leaves of absence, other than for military leave, shall not exceed one year at a time. Faculty personnel on military leave (or special leave for war-connected service) from the institution shall be reemployed by the institution at the beginning of the next semester (or quarter) after the date on which the institution head shall receive written notification that such person wishes to return to his position, provided that such notification shall be given within 40 days after honorable discharge or termination of assignment from the armed forces.
- D. Sabbatical Leave. Provision for leave with pay for the purpose of professional or cultural improvement, or for the purpose of renewal, is a well-established administrative device intended to improve the quality of higher education professional service. The Board recognizes that such a policy is justifiable and desirable and therefore provides for leaves of absence for full-time members of the faculty under the conditions specified below.

"Faculty" is defined in LSA-R.S. 17:3304 as follows:

"Members of the instructional staff of each college and university having the rank of instructor or higher and persons engaged in library, artistic, research and investigate positions of equal dignity, shall constitute the faculty of each college and university. The head of each college or university and its academic officers shall be members of the faculty."

1. For the purpose of professional or cultural improvement, or renewal, this leave may be granted for two semesters (52 weeks for 12-month employees) . It may be granted following any six or more consecutive fiscal years of active service in the institution where such individual is employed. An individual may not accumulate time in an attempt to qualify for more than one consecutive year of such leave. Leave also may be granted for one semester (26 weeks for 12-month employees) following three or more consecutive years of such service by an individual, provided that absence due to sick leave shall not be deemed to interrupt the active service provided for herein. A sabbatical leave taken during a summer session shall be considered a semester for leave purposes.
2. The compensation from the state for the period of leave approved shall be at the rate of not more than 75 percent of the salary the individual will receive during the current fiscal year for the period of time leave is applied for and granted. Employers and employees shall contribute to the retirement system on the basis of full annual salary rate. Compensation payable to persons on leave shall be paid at the times at which salaries of the other members of the teaching staff are paid and in the same manner.
3. In those cases where the faculty member or administrator receives outside compensation, such payment is to be approved in writing and in advance by the president as supportive of the purposes of the leave. If outside compensation plus paid leave would exceed the regular salary, the leave pay will be reduced so that

the institution will pay no leave if the outside compensation equals or exceeds the regular pay. But nothing shall prevent the faculty from being remunerated by outside agencies at higher rates than his regular pay.

4. After each leave period is completed, evidence as determined by the institution must be submitted to the appropriate supervisor to indicate that the purpose for which the leave was granted has been achieved.
  5. At no time during any semester of an academic year shall the number of persons on leave with pay (except sick leave) exceed 5 percent of the total faculty.
  6. In accepting a leave of absence with pay, the faculty member shall be understood to assume a legal obligation as listed in Acts 1991, 858 (R.S.17:3328) to return to the institution for at least one year of further service. A copy of this rule shall be included in the institution faculty handbook and made known to each applicant for such leave.
  7. Individuals accepting sabbatical leave (with pay) are cautioned about prohibitions against dual appointments or dual employment as described in LSA-R.S.42:63.
  8. Sabbatical leave shall be granted only with prior Board approval.
- E. Leave Without Pay. Leave without pay may be granted for a maximum of one year at a time upon recommendation of the institution to the System President and with the approval of the Board.
- F. Forfeiture of Tenure or Employment. Refusal by a faculty member or administrator to comply with the provisions of this leave and sabbatical leave policy shall result in the forfeiture of tenure and/or employment.

### **Leave for Civil and National Service**

An employee shall be given time off without loss of pay, annual, or sick leave for civil and national services.

1. The following are recognized by the Board as appropriate reasons:
  - a. for performing jury duty;
  - b. when summoned to appear as a witness before a court, grand jury, or other public body or commission;
  - c. for performing emergency civilian duty in relation to national defense;

- d. for voting in a primary, general, or special election which falls on his/her scheduled working day, provided that not more than two hours of leave shall be allowed an employee to vote in the parish where he/she is employed and not more than one day in a parish other than the one where he/she is employed;
- e. when the appointing authority determines that employees are prevented from performing their duties by an act of God; and
- f. when the appointing authority shall determine that local conditions or celebrations make it impracticable for employees to work.

### **Military Leave**

Employees who are members of a reserve component of the armed forces of the United States or the National Guard shall be granted leaves of absence from their positions without loss of pay, time, or annual or sick leave when ordered to active duty for field training or training authorized in lieu thereof when the individual is given constructive credit for such training. Such leaves shall be for periods not to exceed 15 working days in any calendar year, but an appointing authority may grant an employee annual leave or leave without pay or both, in accordance with other provisions of these leave regulations for such periods which exceed 15 working days in any calendar year.

Employees who are inducted or ordered to active duty to fulfill reserve obligations or who are ordered to active duty in connection with reserve activities for indefinite periods or for periods in excess of their annual field training shall be ineligible for leave with pay.

### **Other Leave**

The Board recognizes other categories of leave for its employees.

1. **Workmen's Compensation Payments** - When an employee is absent from work due to disabilities for which he/she is entitled to workmen's compensation, he/she may, at his/her option, use sick or annual leave or any appropriate combination of sick and annual leave (not to exceed the amount necessary) to receive total payment for leave and workmen's compensation in accordance with law.
2. **Bereavement** - Probationary and permanent employees may be given time off without loss of pay, annual leave, or sick leave when attending the funeral or burial rites of a parent, step-parent, child, step-child, brother, step-brother, sister, step-sister, spouse, mother-in-law, father-in-law, grandparent, step-grandparent, or grandchild provided such time off shall not exceed two days on any one occasion.
3. **Personal Emergencies** - At the discretion of the appointing authority, a full-time faculty member may be granted leave with pay to attend to personal emergencies. Such time may be charged against sick leave.

4. **Family and Medical Leave** - The Family and Medical Leave Act of 1993 provides that the University grant an employee a total of twelve (12) weeks of unpaid leave (or applicable paid leave) in any 12-month period 1) to care for a newborn child; 2) for the placement of a child with the employee for adoption or foster care; 3) to care for a seriously ill spouse, child, or parent; 4) because of the employee's own serious health condition. The University recommends that since permanent University employees earn leave, the employee not apply for use of FMLA leave until the employee has exhausted all applicable accrued leave. Employees can use their annual and/or sick leave balances as paid leave. But sick leave may only be used for the employee's illness and may not be used for taking care of a family member. The University may require a second medical opinion and periodic recertification at the University's expense. Any employee who takes leave under the provisions of the FMLA will be entitled upon return from such leave to be restored to the same position of employment as held when the leave began or to be restored to an equivalent position with equivalent employee benefits, pay, and other terms and conditions of employment. Under the Act, the employee must give 30 days' notice of the need for FMLA leave, or if not practicable, as much notice as is practicable. It is recommended that any employee considering the use of FMLA contact the Director of Human Resources or Payroll Supervisor.
  
5. **Shared Sick Leave** – For a description of NSU's policy on shared sick leave, see Appendix O.

### **Emergency Absences**

In the event of an emergency, the absent faculty member is responsible for notifying the Department/ Division Head immediately.

## **GRIEVANCE PROCEDURE**

In the interest of the individual faculty member and the University community, problems and concerns should be brought into the open and resolved. A grievance must be initiated within 30 days of the occurrence or the matter shall no longer be eligible for consideration. An effort will be made by the University to process these concerns in a timely fashion, not to exceed 45 days.

Complaints of any nature pertaining to working conditions, lack of a policy or procedure, allegedly unfair application of policy or procedure, and alleged deviation from a policy or procedures as published by Board of Supervisors for The University of Louisiana System and Northwestern State University may be heard.

In most instances, in the interest of collegial relationships, complaints or concerns should be initially expressed to the individuals involved. If a satisfactory resolution is not reached, the complainant may follow the grievance procedures given below.

A faculty member shall orally present and discuss a grievance with the department head. If the issue is not thus resolved, the faculty member shall pursue the complaint with the College

Dean, and if the issue is not thus resolved, with the Vice President for Academic Affairs. Problems should be resolved whenever possible through open communication between administrators and faculty. Each faculty member should feel secure in pursuing the complaint without fear, coercion or retaliation.

If the discussions with the Department Head, the College Dean, and Vice President for Academic Affairs, who have primary responsibility for finding solutions to most faculty problems, do not yield results, the faculty member may file a written grievance form. This form may be obtained from the EEO/AA officer.

The faculty member must state the specific problem, the specific evidence in support of it, and the specific redress requested to resolve it. The faculty member must date and sign the form.

Once stated, the content of the subject matter cannot be expanded. No attorneys will be permitted to be present for either party at any point in the process except during the hearing with the Grievance Committee, at which level attorneys may be present serving in an advisory role only.

Upon completion, the original grievance form is submitted to the EEO/AA Officer. The EEO/AA Officer will send a copy, via certified mail and/or by personal delivery, to the Vice President for Academic Affairs, the College Dean, the Department Head, and to the individuals against whom the complaint is filed, when appropriate.

Each party should file a response to the complaint/grievance with the EEO/AA officer within 5 days of receipt. After the grievance form and responses thereto have been filed, the EEO/AA officer will counsel the complainant and attempt to reach an amicable resolution. If not satisfactorily resolved within 10 days, the EEO/AA officer will call the Grievance Committee.

### **The Grievance Committee**

The Grievance Committee shall be convened through the EEO/AA officer only after the complainant has complied with the steps required in the grievance process. The Grievance Committee serves as a hearing and recommending body, reporting its findings to the President of the University. The Grievance Committee shall conduct the hearing in accordance with the "Script" found in the Appendix of this Handbook. (See **Appendix H**)

- a. All hearings shall be conducted with the full committee present. If any member of the committee is unavailable, the President has the authority to appoint substitute members for the specific purpose of acting at this hearing.
- b. In advance of the hearing, committee members shall informally meet to review submitted materials and determine whether to request additional material and/or evidence to be presented at the hearing.
- c. The committee chairperson will then notify the complainant and other affected parties named in the grievance at least 7 days in advance of the hearing. Notice

shall be in writing and transmitted by certified U.S. mail, detailing date, time and place of hearing.

- d. Non-Appearance of complainant after notice may cause the grievance to be abandoned.
- e. All Committee proceedings are closed and private. Committee members are bound by strict confidentiality. There is no right to a public hearing.
- f. All committee proceedings are recorded. Complete transcripts may be provided upon request. The exception to this rule are those discussions conducted in executive session by the committee to arrive at its final decisions. No other recording will be allowed.
- g. If the complainant is represented by counsel, Committee proceedings shall not go forward without the presence and assistance of legal counsel to the committee.
- h. Witnesses, when summoned to hearings, should be sequestered.
- i. The chairperson of the committee (after consultation with counsel) rules on the relevancy of questions.
- j. No one shall approach individual committee members on the complainant's behalf.
- k. The committee shall submit a written statement of findings to the President within a reasonable time, not to exceed 5 working days.
- l. The findings of the Committee are recommendations for action.
- m. After recommendations from the Grievance Committee have been received by the President, all information pertinent to the grievance will be reviewed by the President and the EEO/AA officer. A determination will be made as to the disposition of the grievance.
- n. All parties will be notified of the disposition in writing by the President.
- o. All records of complaints and responses shall be kept in the EEO/AA Office for EEO/AA review only. All other copies shall be destroyed.

The EEO/AA Office is always open and available for informal discussions regarding complaints and concerns. The EEO/AA officer is available to provide the faculty member with information concerning grievance policies and procedures.

### **Appeal**

In the case of an adverse decision by the President and after all administrative procedures of the University have been exhausted, the employee may appeal the decision to the Board of

Supervisors. The Board will review the administrative proceedings and determine whether or not a hearing is warranted. Should the Board decide that no hearing is warranted, the grievant shall be notified that the hearing has been denied and the decision of the institution affirmed.

The Board may grant the grievant a hearing and provide a fixed time for each party to present their case and all arguments shall be confined to the record of the administrative proceedings from Northwestern State University. However, after the review of the administrative proceedings from Northwestern, the Board may allow additional evidence to be presented. The Board will notify both parties of the type of additional evidence it seeks and the procedure to be used in its presentation.

The Board of Supervisors and Northwestern State University recognize the necessity and desirability of providing employees a method and forum in which to resolve, in an orderly fashion, problems in the work place. However, by the adoption of this policy, it is not the intention of the Board or Northwestern State University to confer upon college and university employees any additional rights of substantive or procedural due process not mandated by law. Should the rules or procedure for appeal to the Board of Supervisors for the University of Louisiana System be changed or modified by that Board, such changes shall be applicable to all appeals at that level.

## **FINANCIAL EXIGENCY**

### **Staff Reduction**

The Board recognizes circumstances that may indicate a need for staff reduction such as financial exigency. Financial exigency exists at the institution level and shall be verified by the System staff after the institution has declared a state of emergency.

### **Board Policy on Financial Exigency**

Anything in the Rules of the Board of Supervisors for the University of Louisiana System to the contrary notwithstanding, if the Board determines that a condition of financial exigency exists at an institution, or in the Supervisors System generally, then the furlough, layoff, or termination of tenured faculty, non-tenured faculty, or other contract employees before the end of their contract term will be handled in accordance with the financial exigency policy set forth below.

### **Definition of Financial Exigency**

A condition of financial exigency shall exist whenever the financial resources of an institution are not sufficient to support the existing programs and personnel of the institution without substantial impairment of the ability of the institution to maintain the quality of its programs and services. Financial exigency may result from a substantial reduction in financial resources or from the failure to receive increases in financial resources sufficient to maintain quality. Evidence of financial exigency may include, among other factors, reduction of state appropriations, faculty and staff salary levels substantially below national and regional averages, significant loss of personnel, or inability to attract new personnel apparently due to inadequate salary and other



support, and substantial threat of deterioration of facilities due to lack of resources for maintenance.

### **Board of Supervisors for the University of Louisiana System Action**

The Board, in the exercise of fiscal responsibility, may decide to declare financial exigency with respect to the System as a whole or to one or more institutions of the System. Reasonable efforts shall be made to insure that students affected will be allowed to complete their programs, within the limits of budgetary restraints, at the institution or by transfer to another institution.

A declaration of financial exigency shall represent a determination by the Board, upon recommendation of the institution president and System President, that the financial condition of an institution or System has reached a crisis in which the entity must carefully reexamine its priorities and reduce programs or personnel or both to effect a cost savings sufficient to alleviate the financial exigency.

The determination of financial exigency affecting the System or any institution shall be the sole responsibility of the Board. However, the president of an institution, after consultation with representative faculty members and approval by the System President, may request such a determination by the Board through the System President. When such determinations are made, this policy, along with any implementing procedures, will take precedence over those applicable Board policies which govern normal operating procedures. Implementation of a declaration by the Board of financial exigency shall be developed with the understanding that action taken will be consistent with the basic mission of the System to provide the best possible education, research, and public service.

### **Implementation of Declaration of Financial Exigency**

Upon a declaration of financial exigency by the Board, the president of each institution, after consultation with faculty and staff, and approval by the System President, shall determine whether furloughs, layoffs, or terminations are required and which employees will be affected. This determination shall be made in accordance with procedures established by the System President, and approved by the Board, which will give primary consideration to the maintenance of a sound and balanced educational program that is consistent with the functions and responsibilities of the institution. The procedure should also give priority to tenured faculty over non-tenured faculty in retention.

Faculty and other employees under contract who are furloughed, laid off, or terminated before the end of their contract terms for reasons of financial exigency shall, whenever possible, be notified at least 90 days in advance of the date of the furlough, layoff, or termination. Notice shall be in writing and shall be delivered personally or by certified mail, with return receipt requested. Notice shall be complete upon delivery or mailing and shall include:

- (a) a statement of the conditions requiring furlough, layoff, or termination;

- (b) a general description of procedures followed in making the decision;
- (c) a statement of the employee's right to respond orally and in writing to a designated official or committee of the institution;
- (d) and the employee's right to a review by the institution president within the time specified in the notice as to the reasons for the furlough, layoff, or termination; and
- (e) the employee(s) shall also have the right, upon written request within 20 days from the date of notification of the final decision of the institution president, to apply in writing to the system office for a review of the decision

The term "furlough", as used in this policy, is defined as temporary leave without pay for any employee, including tenured faculty members, non-tenured faculty, or other contracted employees, before the end of their contract term. The term "layoff", as used in this policy, is defined as the temporary dismissal of any employee, including tenured faculty members, non-tenured faculty, or other contracted employees, before the end of their contract term. Layoffs may lead to eventual termination. Layoffs or terminations may occur within an academic unit or other unit of an institution without a net loss of faculty members or other personnel at the institution. Specifically, layoffs or terminations in some academic or other units may occur with simultaneous authorization of new positions for different duties in academic or other units, depending upon the needs of such units.

### **Approval Required**

Anything in the regulations of the Board notwithstanding, if the Board declares financial exigency, either at an institution or in the system, as provided in section (b) above, program modifications or discontinuances recommended by the institution and approved by the System President must be approved by the Board. With respect to the implementation of such program and modifications or discontinuances upon a declaration of financial exigency, decisions with respect to furlough, layoff, or termination of any tenured faculty, non-tenured faculty, or other contracted employee before the end of their contract term must be approved by the institution presidents and the system President, and the decisions are final upon approval of the system President. Review of such decisions by the Board is at its sole discretion.

### **Termination of Financial Exigency**

Financial exigency shall terminate either at the end of the fiscal year, or after one calendar year, depending upon the financial state of the institution at the end of the fiscal year.

### **Emergency Procedure**

The system President may allow the institution to implement emergency procedures to be reviewed at the next full Board meeting.

### **Appeal**

Affected persons may petition the Board within 30 days for a review after all due process has been exhausted at the institutional level.

### **Financial Exigency Procedural Policy**

In an effort to conduct its affairs in a manner that is fundamentally fair, Northwestern State University has adopted the following policies.

In the case of adverse financial circumstances, the various segments of the University should share, if feasible, in the necessary reductions to accommodate this type of adversity. The University shall give the highest priority to preserving its essential academic mission.

In the case of decline of enrollment and discontinuance or combining of programs, good management practice would dictate reduction irrespective of the financial condition of the University.

The following general principles should be applied in dealing with any case of faculty reduction:

The reasons for reduction should be clearly discernible and well documented in order to avoid charges of arbitrariness or capriciousness;

Unless a financial exigency has been declared and approved by the Board, notification of termination or non-renewal will adhere to dates and times as specified in the Board of Supervisors for the University of Louisiana System Rules;

All reductions will be made through natural attrition first, insofar as possible;

An effort to achieve academic and support staff reduction through early retirement will be made as a second step;

As a third step, non-tenured faculty employed in the specific teaching disciplines identified for reduction will be given notification of termination except as noted below.

If additional reduction is indicated in a specific teaching discipline, tenured faculty will be identified for transfer, termination, or layoff.

The University shall make reasonable efforts to transfer an employee by attempting to locate appropriate alternative employment:

First, by attempting to transfer the faculty member to another teaching field, administrative, or staff position within the University with no loss of tenure;

Second, by exploring possibilities of non-faculty employment at the University or a faculty position at another institution under the Board of Supervisors for the University of Louisiana System without benefit of tenure; and

Third, by assisting in the search for other employment.

The University shall adhere to the following minimal procedures for the reduction of tenured faculty, based on recommendations of an ad hoc committee on financial exigency and retrenchment. In establishing a case for termination the University shall:

First, provide the affected faculty member with a written statement of the basis for the initial decision to lay off or terminate;

Second, provide an adequate description of the manner in which the decision was reached; and

Third, provide a reasonably adequate disclosure of the information and data the decision makers relied upon.

The hierarchy for determination of the order of reductions within a teaching discipline shall be as follows:

First consideration. The need of the college or university for a specialty among the faculty within the identified discipline with the specialty being retained or a decision reached to delete it completely.

Second consideration. The tenure status of the faculty member in the academic discipline, with non-tenured faculty being considered first.

Third consideration. The need of the university to meet equal opportunity guidelines or other employment goals and timetables.

Fourth consideration. The academic rank of the faculty members in the identified discipline, with the lowest rank being chosen first.

Fifth consideration. The earned academic degrees of the faculty members in the identified discipline, in accord with requirements of appropriate accrediting agencies (e.g., standards for professional competency in the Arts).

Sixth consideration. The length of service within the University of the faculty members in the identified discipline, with the one having the fewest number of years of service chosen first.

Because of the difficulties that may be encountered in the retrenchment arena and because of the importance of the faculty having a voice in decisions affecting the faculty, the President shall convene and consult a committee composed of faculty and staff members prior to the

termination of tenured faculty as a result of financial exigency. The committee may also include one or more administrators.

Persons affected by these actions have rights to grievance procedures as provided in this handbook and in Board of Supervisors' policy. Affected persons petitioning the Board for a review must do so within 30 days after grievance procedures have been exhausted at the University.

Given the constraints imposed by civil service regulations in terminating classified employees, the University reserves the right to terminate unclassified employees, including faculty, prior to implementing a reduction in force of the classified employees. It is the intention of the University to protect all tenure rights and to release tenured faculty only for cause or in cases of financial exigency.

### **Definitions**

#### **Teaching discipline**

This reference shall be identified by the major divisions of the Taxonomy of Academic Disciplines or its successor published by the National Center for Educational Statistics U. S. Department of Education. These divisions are identified by Higher Education General information survey (HEGIS) classifications.

#### **Specialty within a teaching discipline**

This reference shall be identified by one of the listed subdivisions in the HEGIS Taxonomy cited above or its successor or by a course or courses listed in the most recent University catalog.

## **INTELLECTUAL PROPERTY AND SHARED ROYALTIES**

### **For complete policy see Appendix M**

The University of Louisiana System recognizes the need for and desirability of encouraging the broad utilization of the results of academic research by bringing innovative findings to practical application. The primary purpose of this Intellectual Property Policy is to provide the necessary protections and incentives to encourage both the discovery and development of new knowledge and its transfer for the public benefit; a secondary purpose is to enhance the generation of revenue for the home institutions and the creators.

The University of Louisiana System recognizes that research and scholarship should be encouraged without regard to potential gain from licensing fees, royalties, or other income; however, the System also recognize that intellectual properties and discoveries may arise from the activities of faculty, staff, and students in the course of the duties or through the use, by any person, of institutional resources such as facilities, equipment, or funds. The policies governing the administration of such intellectual properties should provide adequate recognition and incentive to creators and, at the same time, ensure that the System institutions will share the rights pertaining to intellectual properties in which they have equity. The University of Louisiana System institutions are committed to assist their faculty and other researchers in properly disclosing their scholarly work, in complying with applicable laws and formal agreements, and in gaining the protection available under the United States laws

governing patents, copyrights, trademarks, and other appropriate provisions.

Policies relating to textbooks are also addressed in Chapter Three under Textbook Policies.

## **TRAVEL POLICY**

Official travel, for which reimbursement is expected, is governed by the rules and regulations of the Division of Administration of the State and the policies of the University. These regulations and policies apply to school-owned vehicles, privately owned vehicles, and any type of public transportation regardless of the source of funds. Reimbursement for privately owned vehicles will not be granted if appropriate school-owned vehicles are available for the trip.

Detailed information concerning policies and procedures for official travel are given in the [NSU Fiscal Policies and Procedures Manual](#). Faculty and staff members are requested to become familiar with these details prior to initiating a request for official travel.

Requests from faculty and staff members for official travel should be in the form of a Request for Authorized Travel initiated by the budget unit head and forwarded through approving agents. The University Police Office is responsible for assigning available school-owned vehicles for duly authorized travel. The traveler is responsible for reserving a University Vehicle. Only if no vehicle is available will the traveler be reimbursed for use of their personal vehicle. Questions may be addressed to the Travel Office in St. Denis Hall. The University Police Office is not responsible for the authorization of travel.

## **POLICY ON USE OF FACILITIES, EQUIPMENT OR PROPERTY**

### **General**

The private use of state facilities, equipment or property is prohibited by Louisiana Constitution 1974, Article 7, S14.

The use of copy machines, vehicles, offices, and other operating supplies for personal use, as well as telephone usage for personal long-distance calls without reimbursement, and use of the University facilities for private instruction such as music lessons and tutoring, without reimbursement, are examples of violations of this policy.

Additional information can be found in CH. VII-19 of the University Policies and Procedures Handbook.

### **Vehicles**

Only Northwestern State University or its designee will possess the authority to permit an individual the use of University vehicles. No person assigned to a vehicle has the authority to relinquish its use to another person unless prior approval has been obtained. Vehicles operated by the University are state owned and restricted to use for official University business only.

**Requirements for Drivers**

- a. Only state employees shall be authorized to operate these vehicles.
- b. Selected employees must possess a valid Louisiana operators license for the vehicle class being driven and must have a verifiable need to operate this vehicle.
- c. Supervisors will submit for approval only persons with acceptable driving history.
- d. Persons permitted to operate these vehicles will operate only those vehicles for which they are specifically trained and licensed.
- e. All persons intending to use university vehicles shall attend and successfully complete a "Defensive Driving Course" within three (3) months of application, and a refresher course every three (3) years thereafter unless the individual's driving record indicates a need for more frequent training or withdrawal of authorization.
- f. Drivers must obey all local, state, and federal laws.
- g. Student workers are allowed to use a state vehicle in conjunction with their student employment duties. They must comply with all requirements for drivers including completion of the Drivers Safety Course.
- h. Students not on official university business cannot travel in university vehicles.

**IDENTIFICATION CARDS**

Faculty identification cards may be obtained without charge at any time other than during semester registration for students. The identification card is required for borrowing library materials and is useful at the Recreation Complex, IM Building and for other purposes. The cards may be obtained during regular working hours in the Friedman Student Union Building room 100.

**CREDIT UNION FOR NORTHWESTERN STATE UNIVERSITY EMPLOYEES**

In the Spring of 1972 the Faculty Senate voted to endorse the Louisiana Capitol Federal Credit Union, a non-profit organization established for Louisiana State Employees. The Credit Union has been in continuous existence for 25 years.

Northwestern State University provides the service of payroll deduction for employees who want to repay a loan or save by this method. No indication is made on the payroll deduction form whether the deduction is for savings or loans, thus providing confidentiality.

Requests for information about membership in the Credit Union should be directed to:

LA Capitol Federal Credit Union, Natchitoches Branch office, 311 Keyser Avenue,  
Natchitoches, LA 71457, (318) 357-3103

**or to:**

Office of the manager, LA Capitol Federal Credit Union, P. O. Box 3398, Baton Rouge, LA 70821-3398, 1-800-522-2748, (225) 342-5055 Main Office, (225) 342-5906 Loan Department

### **VEHICLE REGISTRATION**

Vehicles operated on the campus must be registered with the University Police Department. Upon registration, faculty and staff members receive an identification tag for the vehicle that permits parking in any legal zone. Faculty and staff are encouraged to park in zones that are reserved for faculty and staff only.

Faculty and staff members should be cognizant of the published Campus Traffic Regulations, available from the University Police Station. Specific regulations related to moving vehicle violations, parking, pedestrian right-of-way, and vehicle registration are to be strictly enforced.

### **MEDICAL EMERGENCIES**

In cases of medical emergencies occurring on University property or in the performance of University business, it is the responsibility of the faculty member to notify the University Police Department (telephone: 357-5431) immediately by the quickest means available. It shall be the responsibility of the University Police to advise the faculty member and make proper notifications according to the University policy.

In extreme emergencies, the faculty member should take appropriate action to get the injured party to the hospital emergency room.

If the emergency occurs off campus, the faculty member should call 911 or the appropriate local emergency number.



## CHAPTER THREE

### POLICIES AND SERVICES PERTAINING TO INSTRUCTION

#### **Class Attendance Regulations**

Student class attendance regulations and requisite instructor records are delineated in the University Catalog.

#### **Commencement**

Participation in Commencement exercises is a responsibility of all faculty members. Two formal exercises are conducted each year at the end of the Fall and Spring semesters. All faculty will participate in full regalia (as recommended by the American Council on Education) in one of the two exercises.

#### **Class Attendance for Faculty**

All classes are to be in session as scheduled. Faculty members are expected to meet their classes promptly at the scheduled time and location. Deviations must be approved by the academic Department Head/Coordinator or Dean. In case of illness, emergencies, or death in the family, prompt notification of the academic Department Head/Coordinator or Dean is required. Arrangements are to be made with the academic Department Head/Coordinator or Dean to cover classes that will be missed.

#### **Advising of Students and Office Hours**

All students are advised by faculty members. Academic advising is regarded by the University as an extension of the teaching function and, therefore, is an important responsibility of the faculty. Faculty are usually assigned to advise students who have indicated an interest in their particular field of specialization. Faculty advisor assignments are determined by the Dean of the College of the student's major.

Faculty members who are involved in regular matriculation programs of the University are expected to be the principal advisors of students. Advising students on matters pertaining to curriculum and career choices is the responsibility of the student's academic department. The advisor should be knowledgeable of catalog requirements and should follow procedures determined by the academic Department Head/Coordinator or Dean. It is the responsibility of the faculty member to stay abreast of policy changes contained in the catalog, to correctly advise students on a continuing basis, and to post and keep regular office hours.

#### **Grading System**

The grading system for the University is presented in detail in the University catalog.

#### **Cheating**

Each instructor will indicate beforehand work that may be done in collaboration with other students. A zero or "F" shall be given to any student cheating on an examination or other piece of work. An "F" on the examination and in the course shall be given to any student cheating on a final examination. Occasions of cheating should be reported to the College Dean and the

Vice President of Student Affairs. The Discipline committee may take additional action including dismissal from the University.

### **Grade Appeal Procedure**

The grade appeal procedure for the University is presented in detail in the University catalog.

### **Grade Change Procedure**

Grade changes must be initiated by the instructor within 120 days of the end of the academic period in which the grade was earned. The instructor initiates the action by forwarding a change of grade slip, along with a written explanation for the change, through the academic Department Head/Coordinator and the College Dean. Approved changes are forwarded to the office of the Registrar for recording the change and notifying all concerned parties.

The same procedure is used to change an "I" or an "IP" grade, but, if done within 60 days, does not require the approval of the academic Department Head/Coordinator or the College Dean.

### **Semester Examinations and Grade Reporting**

Instructors are required to conduct classes, test and grade students (including any comprehensive final examinations), and report grades to the Office of the Registrar within the prescribed time period. Deviation from the published final examination schedule must be approved by the College Dean. No student may be exempted from a final examination. Absence from a final examination, except in the case of unusual emergency, will be recorded as a failure in the course. Instructors must complete class records and grade sheets and submit them as specified by the Office of the Registrar.

### **Eugene P. Watson Memorial Library**

Faculty and staff are encouraged to use the library facilities of the University. General information about the use of the library can be obtained at the Reference Desk.

Additional library facilities are located on the Fort Polk campus and at the Nursing Education Center in Shreveport.

### **Information Systems**

Faculty members with compatible personal computers with modem may access the main computer from their office or home. User names and passwords are issued by the office of Information Systems.

### **Textbook Policies**

Book orders and notifications of changes in textbooks are to be sent to the University Bookstore by the academic Department Head/Coordinator or Dean using the report forms provided by the Bookstore. Requests for adoption, addition, or change of books should be accomplished in a timely manner to allow for ordering and shipping. If a text is reprinted in a new edition or if it goes out of print, the department may select either the new edition or a new text.

The University Bookstore has an adoption policy for all books except graduate course texts. Policy for graduate course textbooks is determined by the department and the bookstore manager.

Requests for complimentary copies should be sent directly to the publisher. Request forms are available at the University Bookstore.

The Louisiana Code of Governmental Ethics prohibits the sale of complimentary texts by faculty. The use of any books or materials written by a faculty member for which royalties are to be paid to the faculty member must follow the approval process as outlined in the Louisiana Code of Governmental Ethics Sections 1111 and 1123(9)(a). Regulations regarding intellectual property and shared royalties are also addressed in **Appendix M**.

## **STUDENT SERVICES**

### **Access to and Utilization of Student Records (Privacy Act)**

Northwestern State University's policy on the release of information on students is based on the promise that a student's record is confidential and must be protected from those who would use it for other than legitimate purposes. At the same time, the policy must be flexible enough so as to not hamper the student or the University in the pursuit of legitimate endeavors.

Release of information on any student ordinarily will be made only on the written request or authorization of that student. This policy also applies to the issuance of transcripts. Telephone requests for transcripts will not be honored nor will be requests for transcripts made by the parent, spouse, or prospective employer of an adult student except on the authorization from the student. The parent of a student under eighteen years of age may be provided a copy of that student's transcript for personal use on written request. Transcripts may be issued on written request to institutions from which a student has graduated or transferred, institutions to which a student transfers, or to organizations which sponsor a student, provided the student concurs in the request.

A student may not inspect and review the following: financial information submitted by the student's parents; confidential letters and recommendations associated with admissions, employment or job placement, or honors, to which documents the student has waived rights of inspection and review; or educational records containing information about more than one student, in which case the institution will permit access only to that part of the record that pertains to the inquiring student.

The only information ordinarily publicly released concerning students will be that considered "Directory information." The University defines directory information as name; address; telephone number; date and place of birth; major field of study; participation in officially recognized activities and sports; weight and height of members of athletic teams; dates of attendance; degrees, awards, and honors received, including naming to honor rolls; and any and every previous educational agency or institution attended.

During the first fourteen class days of a regular semester or the first five class days of a summer term, a student who has enrolled can request that directory information be withheld for that term by completing the appropriate form available in the Registrar's Office.

Northwestern State University maintains only those student records necessary for the conduct of business. Information in student records will be released to outside investigating agencies only with the written consent of the student involved. Once consent has been received by the University, information requested from academic records of student, student's permanent folders (containing admission credentials, transcripts, etc.), and students' personnel records may be released to properly identified investigators through authorized staff personnel in the Office of the Vice President of Student Affairs. The University is obliged to provide information on students pursuant to court orders and subpoenas.

The University recognizes that research is a fundamental component of its overall mission. Occasionally, such research involves the use of students and data extracted from student records. Permission to conduct such research must first be obtained from the person in charge of the involved discipline. Authorization to utilize students must be obtained from the Committee on Protection of Human Subjects in Research. Permission to use student records must be secured from the Vice President of Student Affairs. Every effort will be made to protect the security of identifying information to ensure anonymity of participants.

Records of disciplinary actions taken by the University against students are maintained for intramural purposes, and information relating thereto will be released to inquirers only with written authorization of students concerned. Notices of suspension for non-academic reasons will be a permanent part of the transcript, and will be governed by the same release authorization provisions as apply to the total transcript.

Faculty members may review the academic records of their students to the extent that such reviews serve legitimate educational interests.

At least once a year Northwestern State University will publish in the student newspaper (The Current Sauce) and the Alumni Columns, and will broadcast over the student radio station, KNWD, the fact that certain records are kept about students, that these records are available to students, and that students have the right to challenge the contents of these records.

### **Types of Records**

The types of educational records kept about students at Northwestern State University are as follows:

#### **Instructors**

A record is maintained concerning each student by the instructor. Such items as attendance, test grades, and reports are noted by the instructor. The instructor treats this information in a confidential manner, and a student's marks in the class can be divulged only to the student.

#### **Deans**

The Deans keep the matriculation record of students. Some incidental materials may be kept (such as newspaper articles, honors, or a supervising teacher's evaluation of a student teacher). No one has access to these records except the dean or a designated agent of the dean. These records are unofficial and may be reviewed by the student in the dean's office.

**Academic Advisors**

Upon matriculation at the University, each student is assigned an academic advisor who has access to a record of the student's academic progress on the University's computer system. The material in this record is of an academic nature, indicating the past and present matriculation record, current academic status, and curriculum. All authorized faculty and administrators of the University have access to this record. A student's academic record may be reviewed by the student in the academic advisor's office. These records are unofficial. They are placed in an inactive status if the student's education is interrupted.

**Vice President of Student Affairs**

The Vice President of Student Affairs maintains disciplinary records and miscellaneous administrative records including Student Government Association Loans and Student Insurance. The student can review these records in the office of the Vice President of Student Affairs. Only authorized Student Life staff have access to these records, which are routinely destroyed three years after the student leaves the University.

**Student Infirmary**

The on-campus resident is encouraged to furnish a medical information form which includes current and past medical history. Records are kept on medical problems reported by the student and on treatment procedures. The only people who have access to these records are the University physicians and nurses. Every effort is made to protect the physician-patient relationship and to safeguard all confidences. The student cannot review these records but a student's personal physician, acting on the student's behalf, can review them.

**Registrar**

The Registrar is the keeper of the official academic record of the student. The student's application for admission to the University and other materials of an academic nature are kept in this office. The academic records in the Registrar's Office are permanent and may be reviewed by the student. This includes records for all veterans receiving assistance from the Veterans Administration.

**Financial Aid Office**

All students who are receiving scholarships, loans from state and federal sources, or who are student workers and receive some financial assistance through the University have records in this office. The student may review all of his or her records.

**The Housing Office**

The Office of Housing maintains disciplinary records and other housing data. Only authorized Student Life staff have access to these records which are destroyed three years after the student leaves the University. Students may review these records in the Office of Director of Housing.

### **Career Planning and Placement**

The Career Planning and Placement Office maintains records about students who register with the office and students whose test results are referred for interpretation. Students who register with the office authorize the Career Planning and Placement Office to release credentials files to prospective employers. Students may view the complete file (resume, letter of reference, and transcript) except when the right to see references has been waived. The right to view references may be reinstated only through written approval from the reference. Placement files are made inactive or destroyed after the director feels that the student may no longer be adequately served by the center.

### **Testing Center**

The Testing Center maintains a record of test scores submitted to the University and the results of the University's Advanced Standing Examination and the English Proficiency Examination. These records are available to the student, faculty, advisor, academic dean, and other authorized University personnel concerned with the student. Scores are not released to anyone other than authorized University personnel except upon request of the student.

### **Student Records Appeal**

Northwestern State University shall provide each student an opportunity for a hearing to challenge the contents of the student's educational records in order to ensure that the records are not inaccurate, misleading, or otherwise in violation of privacy or other rights of students, and to provide an opportunity for the correction or deletion of any inaccurate, misleading, or otherwise inappropriate data contained therein.

The University will attempt to settle disputes with students regarding the content of the student's educational records through informal meetings and discussions. When these informal means are not satisfactory to the student or the University, more formal proceedings may be conducted. On the written request of the student to the University concerning the inaccuracy of material contained in the student's record, a board composed of the Vice President of Student Affairs, a representative of the Faculty Senate, the College Dean, a representative of the heads of academic departments and a representative of the Student Government Association will hear the complaints and make a recommendation to the President of the University. Hearings shall be conducted within five working days following receipt of the request for the hearing. If any member of the hearing panel is involved in the case in question, the President of the University will select an individual who does not have a direct interest in the outcome of the hearing. The student or the University is to be afforded a full and fair opportunity to present evidence relevant to the issue raised. A recommendation from the committee shall be rendered in writing to the President of the University for his consideration, and his recommendations will

be communicated to the parties involved within ten working days after the conclusion of the hearing.

If the decision of the President is unsatisfactory to the student, the student may place within the educational records of the University a statement or statements commenting on the information in the records, or statements setting forth any reasons for disagreeing with the decisions of the hearing panel or the President. Those statements will be placed in the educational records, maintained as part of the student's records, and released whenever the records in question are disclosed.

## CHAPTER FOUR

### RESEARCH AND SPONSORED PROGRAMS

#### **Sponsored Projects**

Sponsored projects are those programs within the University that are financed in whole or in part by a funding agency external to the University. These programs may include grants, contracts, or continuing education programs. The University encourages faculty and staff members to undertake sponsored research and other projects as a means of enriching their scholarly competence. These projects are further encouraged as a means of providing public service.

Research is an integral part of the academic program and of each faculty member's responsibility. It is the posture of the University that faculty members should be engaged in some form of research or creative scholarly activity.

Faculty members wishing to initiate a grant proposal should contact the Office of Research and Sponsored Programs for guidance and assistance. The University will assist the faculty member by providing a resource person for advice and guidance and clerical help for the preparation of documents.

#### **Research Involving Human Subjects**

When human beings are used as subjects in research projects, safeguards must be established to protect their health, well-being, and rights. Under the policies established by the United States Department of Health and Human Services (HHS), this protection is extended to all human subjects regardless of the nature of the research being performed. In response to this policy, Northwestern State University established the Committee on the Protection of Human Subjects in Research to review all research proposals involving human subjects. University policy requires that proposals for all research projects in which data is to be collected from human subjects shall be submitted to this committee to determine whether an exemption applies or whether a review is required.

It is the responsibility of the faculty member to assure compliance with this policy in research conducted by either a student advisee or the faculty member.

In 1981 the HHS revised guidelines and exempted certain forms of research involving subjects from review. Those forms of research are as follows:

Common Educational Practices. Research involving regular or special instructional strategies, or research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

Educational Testing. Research involving the use of educational tests (cognitive, diagnostic, aptitude, and/or achievement) if information taken from these sources is recorded in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.



Survey and Observation. Any research involving survey and observation is exempt except where any one of the following exists: (a) subjects can be identified either directly or indirectly; (b) subject responses if they became known outside the research could place the subject at risk of criminal or civil liability or be damaging to the subject's financial standing or employability; or (c) the research deals with sensitive aspects of the subject's own behavior, such as illegal conduct, drug use, sexual behavior, or use of alcohol.

All research involving survey or interview procedures is exempt, without exception, when the respondents are elected or appointed public officials or candidates for public office.

Data Collection and Study. Research involving collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

Research involving children is not exempt by the conditions listed above. Research involving participant observation is exempt only if the investigator does not participate in the activities being observed. Survey research and interview procedures involving children are not exempt.

### **Committee on the Protection of Human Subjects in Research**

All research not covered by an exemption must have the approval of the Committee on the Protection of Human Subjects in Research (CPHSR) before it can be initiated. All research covered by an exemption described above must have approval of the exemption by the CPHSR. The CPHSR thus reviews and has the authority to approve, require modification in, or disapprove all research activities covered by HHS guidelines, whether HHS-exempted or not.

In order to approve a research project, the CPHSR shall determine that all of the following requirements are satisfied:

Risks to-the subjects are minimized;

Risks to the subjects are reasonable in relation to anticipated benefits, if any, to the subjects, and the importance of the knowledge that may be reasonably expected to result;

Selection of subjects is equitable;

Informed consent will be sought from each prospective subject or the subject's legally authorized representative;

Informed consent will be appropriately documented;

Where appropriate, the research plan makes adequate provision for monitoring the data collected to ensure the safety of subjects;

Where appropriate, there are adequate provisions to protect privacy of subjects and to maintain the confidentiality of data;

Where some or all of the subjects are likely to be vulnerable to coercion or undue influence, such as persons with acute or severe physical or mental illness, or persons who are economically or educationally disadvantaged, appropriate additional safeguards have been included in the study to protect the rights and welfare of these subjects.

The CPHSR shall have the authority to suspend or terminate approval of research that is not being conducted in accordance with requirements or that has been associated with unexpected serious harm to subjects.

### **General Requirements of Informed Consent**

No investigator may involve a human being as a subject covered by these regulations unless the investigator has obtained the legally effective informed consent of the subject or the subject's legally authorized representative. An investigator shall seek such consent only under circumstances that provide the prospective subject or the representative sufficient opportunity to consider whether to participate and that minimize the possibility of coercion or undue influence. The information given to the subject or the representative shall be in language understandable to the subject or the representative. No informed consent, whether oral or written, may include any exculpatory language through which the subject or the representative is made to waive or appear to waive any of the subject's legal rights, or releases or appears to release the investigator, the sponsor, the institution, or its agents from liability for negligence.

Basic elements of informed consent shall include the following:

A statement that the study involves research, an explanation of the purposes of the research and the expected duration of the subject's participation, a description of the procedures to be followed, an identification of any procedures that are experimental;

A description of any reasonably foreseeable risks or discomforts to the subject;

A description of any benefits to the subject or to others that may be reasonably expected from the research;

A disclosure of appropriate alternative procedures or courses of treatment, if any, that might be advantageous to the subject;

A statement describing the extent, if any, to which confidentiality of records identifying the subject will be maintained;

If more than minimal risk is involved, an explanation must be provided as to whether any compensation or medical treatments are available if injury occurs and, if so, what they consist of, or where further information may be obtained;

An explanation of whom to contact for answers to pertinent questions about the research and the research subject's rights, and whom to contact in the event of a research-related injury to the subject; and

A statement that participation is voluntary, and that refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled and that the subject may discontinue participation at any time without penalty or loss of benefits.

**Documentation of Informed Consent**

Informed consent shall be documented by the use of a written consent form approved by the CPHSR and signed by the subject or the subject's legally authorized representative. A copy shall be given to the person signing the form.