



FACULTY HANDBOOK

"We Teach the Mind to Think, Hands to Work and Heart to Love"

2014-2016

Dr. Lady June Cole
President

Right Reverend Dr. Richard Franklin Norris
Chairman, Board of Trustees

This is not a contract.

Allen University is accredited to award baccalaureate degrees by
The Commission on Colleges of the Southern Association of Colleges and Schools
(1866 Southern Lane, Decatur Georgia 30033-4097
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SIGN AND RETURN THIS PAGE TO THE OFFICE OF ACADEMIC AFFAIRS

DISCLAIMER

Preface

The guidelines of this faculty handbook are pertinent to the employment of Faculty members at Allen University and are presented as guidelines of some of Allen University current policies and procedures. They will be changed, updated amended, modified, or discontinued by Allen University when necessary. This handbook and its contents supersede, replace and make null and void all previously issued or communicated handbook policies, rules, guidelines, and procedures.

RECEIPT FOR FACULTY HANDBOOK

I acknowledge that I have received a copy of the Faculty Handbook. I agree to read it thoroughly. I also agree that if there is any policy or provision in the Handbook that I do not understand I will seek clarification from the Vice President of Academic Affairs. I understand that Allen University is an "at will" employer. As such, employment with Allen University is not for a fixed term or a definite period and may be terminated at the will of either party, with or without cause, and without prior notice. No person (except the President or his/her designee) has the authority to enter into any agreement for employment for any specified period of time, or to make any agreement contrary to the above. In addition, I understand that this Handbook states policies and practices in effect on the date of publication and works in conjunction with the Allen University Employee Policy and Procedure Manual. I also understand that these policies and procedures are continually evaluated and may be amended, modified or terminated at any time.

I acknowledge receipt of the Allen University Faculty Employee Handbook revised October 2013. I have read and understand this disclaimer.

Print Name

Date

Signature

Date

Letter from the Vice President of Academic Affairs

MISSION STATEMENT

Allen University is an academic community, which provides students an opportunity to obtain a baccalaureate degree in liberal arts and professional programs. The University has a strong unalterable commitment to teaching in delivery of its baccalaureate programs.

HISTORY

The African Methodist Episcopal (AME) Church founded Allen University in 1870. The University has a distinguished history, rich in the tradition of promoting spiritual growth and training men and women to become productive leaders in an ever-changing society. Representing the dream of Daniel Alexander Payne, an apostle of black education in the United States who saw the need for a unique school among African Americans, Allen University has cultivated a distinguished history also, rich in the tradition of training men and women for leadership.

On July 29, 1870, under the leadership of Bishop John M. Brown, the Columbia Conference purchased 150 acres of land in historic Cokesbury, S.C. at the annual conference. At the Annual Conference, the Reverend Simon Miller presented the deed for the land and buildings. The document was adopted and became the property of the AME Church, bearing the name of Daniel A. Payne. For its first 10 years, the school prospered under the leadership of Crogman, Perter, Scarborough and Morris, fulfilling its mission to develop educated clergy in the face of repression and violent opposition during the Reconstruction era in South Carolina.

At the Annual Conference meeting in Spartanburg in 1880, delegates agreed on the need for a more centralized location for Payne Institute and voted for its transfer to Columbia, S.C. Concurrently, Payne Institute was renamed Allen University in honor of Bishop Richard Allen, Founder of the AME Church. Under the first two presidents, J.E. Walters and J.W. Morris, who had studied law at the University of South Carolina, Allen made great progress. During this period, the Theological and Law Departments were formed within the institution. Between 1884 and 1890, 14 students received degrees in letters, and 54 graduated from the Normal Collegiate Department. During the Depression, Allen overcame many hardships to keep its doors open. In 1930, the Department of Science was established, followed by a Department of Languages. In these early years, Allen University had to satisfy the needs of its students at all educational levels. For many years, the curriculum not only included legal courses, but theology, the arts, and courses at elementary and high school levels. At one time it was possible for a student to enter Allen as a child in the first grade and leave prepared to teach, preach, or plead in the courts as fully trained educators, ministers, and lawyers.

The grammar school continued until the mid-20s. The high school was closed after the graduation of the class of 1933. For the 1933 school term, the University accepted only persons who had completed high school. The decade of the 1940s saw many adjustments in response to the circumstances of World War II. Following the war, an influx of veterans pursued studies at Allen. In 1945, the Departments of Humanities, Philosophy, Psychology, and Religion joined the existing curricula. In 1970, Allen University celebrated its Centennial, marking the close of a century, and the beginning of a bright future, rededicated to the principles upon which it was founded. Responsive to the changes in society, Allen revised its curricula to continue to provide its students with educational experiences and competencies needed to successfully pursue their chosen careers. Allen University continued to meet the challenges and training which were consistent with the spirit and commitment of Richard Allen.

The 1990s were a period of rededication, growth and development. The University began the decade by accepting the challenge to develop a stronger academic program. The hard work and commitment resulted in the affirmation of accreditation by the Commission on Colleges of the Southern Association of Colleges and Schools (SACS), and successful reaffirmation six years later. Since then, the University has worked successfully to improve its fiscal accountability and to upgrade its facilities. Recent improvements include the construction of the John Hurst Adams Gymnasium, restoration of Arnett Hall and Chappelle Administration building, construction of two new residence halls and interior renovation of three of its historic residence halls.

Allen University continues to demonstrate its mission of preparing young people for service. An impressive number of Allen alumni have had distinguished careers in a variety of fields, and have earned advanced degrees at some of the most prestigious universities in the nation. From the ranks of Allen University emerged some leaders in the quest for social justice as well as catalysts for spiritual growth and educational excellence.

VISION

Allen University is a Christian Liberal Arts institution with emphasis on preparing leaders who are skilled in communication, critical thinking and possess high moral character. We will create an environment of nurture and academic excellence in order to heighten our student's chances of succeeding in an ever diverse and global world. We will utilize various and creative paradigms, delivered in traditional and innovative modes. The vision for Allen University is driven by her call to serve the present age by providing opportunities to persons who desire to prepare themselves to fulfill their purpose. In her vision, Allen must demonstrate faithful stewardship of its curricular and fiduciary responsibilities, as well as its properties and hardware resources. The vision in part is influenced by current trends in higher education and an honest and

objective survey of the present state of the university and accreditation updates by the Southern Association of Colleges and Schools Commission on Colleges.

CORE VALUES:

Our core values are selected principles, which will be utilized to govern our behavior and operation as an organized body.

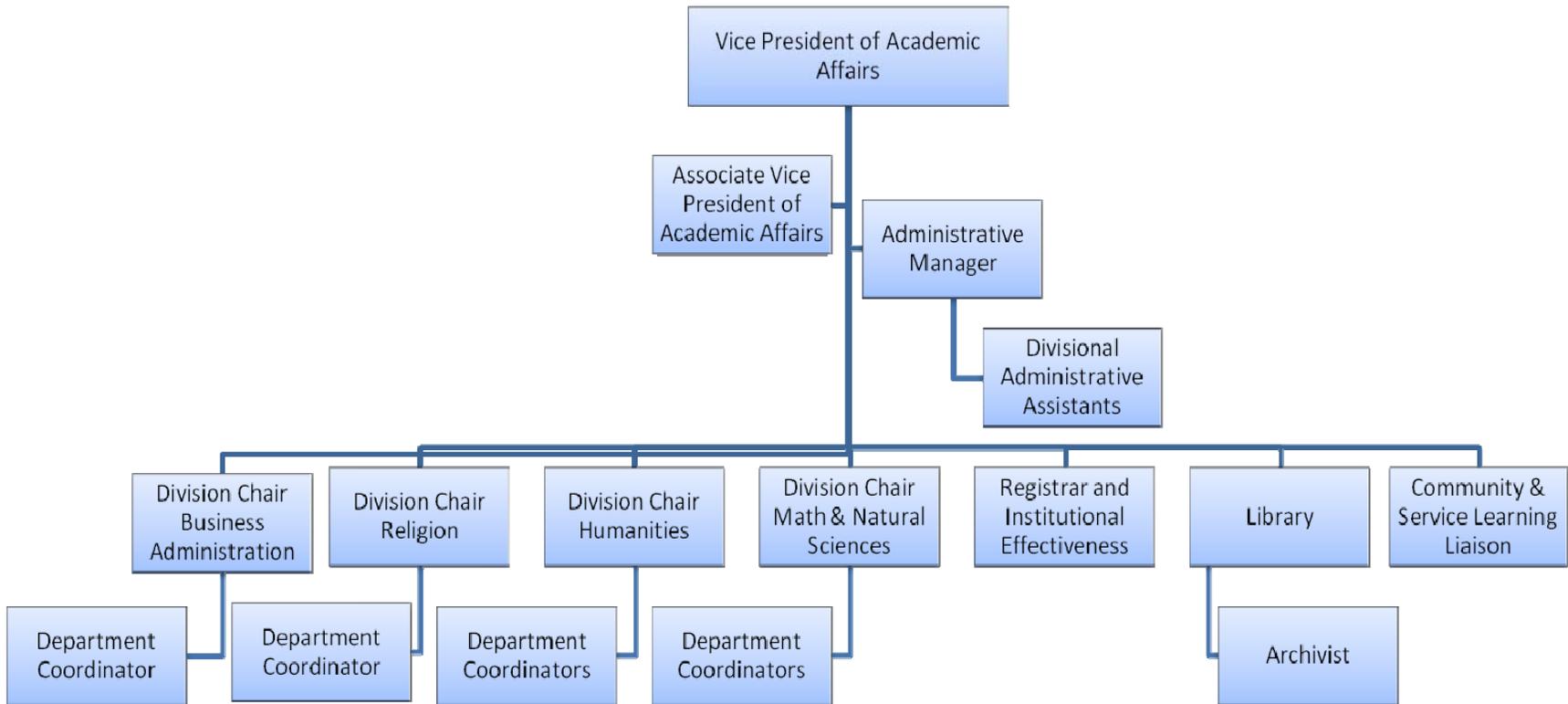
Integrity: Allen University seeks to practice truth and propriety in our personal and corporate practices and relationships.

Accountability: Allen University accepts her responsibility to be consistent in sound practices, loyal in reference to duties, agreements, obligations and relationships.

Respect: Allen University faculty, staff, and students aspire to live and work in harmony with peers, superiors and subordinates by respecting each one's right to exist, and think and speak in an appropriate manner with dignity of each one honored by all.

Excellence: Allen University is committed to the vigorous pursuit of excellence in our educational and behavioral endeavors.

Faith: Allen University is a Christian Liberal Arts institution of higher learning. We seek to be governed by what we know and believe about God as prescribed by the African Methodist Episcopal Church.



Board of Trustees

The Board of Trustees governs Allen University. The Board determines institutional policy, which assures that the institution achieves its purposes and objectives. The authority of the board is derived from its Charter, approved by the General Assembly of the State of South Carolina, December 24, 1880.

Office of the President

- Serves as Chief Executive Officer of Allen University and is responsible to the Board Trustees.
- Serves as non-voting member of the Board of Trustees
- Serves as Chairperson of the Administrative Council
- Directs, supervises and coordinates the activities of all institutional units.
- Appoints all faculty and staff
- Has authority to accept resignations, grant temporary leaves of absence and initiate action to suspend or dismiss any employee in accordance with provisions of the institution's personnel policies.
- Is responsible for the internal administration of the institution.
- Presides at all public academic occasions and represents the institution before the public.
- Signs and countersigns all checks, contracts or other documents of the institution as authorized by the Board of Trustees.
- Makes an annual report to the Board of Trustees on the work and condition of the institution and periodically presents proposals to the Board for consideration that are deemed necessary or expedient for the welfare of the institution.
- Performs all other duties that are incidental to the Office of the President.

Vice President for Academic Affairs

- Reports to the President and is third in line of executive authority after the President
- Serves as Chief Academic Officer of the institution and as a member of the President's Senior Executive Cabinet Council
- Supervises the work of all Chairpersons and Directors of academic units
- Serves as Chairperson of the Curriculum Review Committee and as an assistant to the Education Committee of the Board of Trustees
- Serves as administrative head of the faculty
- Supervises the design, development and implementation of the curriculum and institutional program

- Recommends the appointment of new faculty, evaluates the performance of the faculty and recommends the renewal, compensation and non-renewal of faculty
- Supervises the academic advisement program
- Supervises the proposal preparation to fund academic programs and administration grants, which fund academic programs
- Supervises the assignment of all classroom, laboratory and office space and special equipment required for instructional programs
- Supervises the adoption of official textbooks for each course and consults with the Chief Fiscal Officer to ensure the availability of course textbooks
- Reviews and approves publications of the institution that relate to the academic program
- Assists and promotes relevant institutional research on the academic program.
- Performs any other duties assigned by President

The Vice President of Academic Affairs is appointed by the President and serves as the chief executive and administrator for faculty. Every academic department and program in the University is assigned to the Vice President of Academic Affairs. The Vice President of Academic Affairs executes University policies and regulations and supervises other professional manners under the authority of the University's Board of Trustees. In addition, the department and the students may suggest that the Vice President monitor compliance with professional standards for accreditation established by appropriate agencies outside the University.

Division chairpersons report directly to the Vice President of Academic Affairs. The Vice President has the obligation to consult and inform the division chairpersons and faculty on all major matters of policy within each academic division. The Vice President is empowered to call meetings of chairpersons, program directors and faculty, to appoint intra-school or college committees, to obtain information and to make any administration decisions as to matters relating solely to the college and not specifically allocated to the jurisdiction of University boards, committees and offices. After appropriate evaluation within the division in accordance with its established guidelines, and in consultation with the division chairperson, the Vice President has the duty to make recommendations for initial and emeriti appointments, promotions, salary increases, leaves of absence, notices of intent not to renew appointments of faculty, and terminations.

The Division Chairperson

Chairpersons are academic leaders and administrative heads of their divisions. As such each chairperson execute University policy and regulations within the specified academic division. As academic leaders they are responsible for establishing departmental goals; promoting excellence in teaching and research; encouraging and

stimulating faculty members in professional development; providing educational counseling for students; working towards obtaining appropriate resources; and establishing a climate of collegiality in which matter of concern to faculty, department, school, and university may be discussed and acted upon. As administrative heads, chairpersons are responsible for the professional excellence of their divisions. Chairpersons are also responsible for respecting and supporting the University's policy on academic freedom within their division. The responsibilities of the chairperson include the itemization below:

Chairpersons:

1. Consult with and inform faculty members of all major matters of policy affecting a member or the division, including non-renewal decisions based on policy considerations.
2. In matters of faculty promotion, make recommendations to the Vice President of Academic Affairs for initial and emeriti faculty appointments, promotions, salary increases, leaves of absence, notices of intent not to renew appointments of faculty, and terminations.
3. Recommendation to the Vice President of Academic Affairs by the chairperson must include an explanation of the basis for the recommendation and ensure that the materials relevant to the recommendations are forwarded to the Vice President. No statements regarding matters of promotion are binding on the University unless made in writing by President.
4. Review each full-time faculty member's performance annually and discuss the completed evaluated form with the faculty member before sending it to the Vice President of Academic Affairs.
5. Develop and review, in consultation with full-time faculty members, standards authorized at the division level. Once approved by the Vice President of Academic Affairs these guidelines should be disseminated to all full-time faculties in the division.
6. In consultation with and at the direction of the Vice President of Academic Affairs, chairpersons assign faculty members to teach courses at prescribed times and locations.
7. Call and preside at meetings of their divisions. The minutes of these meetings should be prepared and transmitted to the members of the division, the Vice President of Academic Affairs, and the President's Office within one work week of the meeting.
8. Chairpersons appoint division committees and student's academic advisors.
9. Division Chairs responsibilities include leading an academic program review each fall in collaboration with Area Coordinator. Review for course descriptions should occur every three years.

There is no set term of office for a chairperson; however, Chairs should anticipate a term of 3-5 years. Chairpersons have the authority to appoint their own substitutes during absences of fewer than thirty days; if they are to be absent for a longer period, the Vice President of Academic Affairs appoints acting chairpersons and the terms of office.

Allen University is explicit about its responsibilities under the law to provide equal opportunities for all persons regardless of age, color, disability, ethnicity, marital status, national origin, race, religion, gender, and veteran status.

The University envisions itself as a community that welcomes, encourages, and supports individuals who desire to contribute to and benefit from the institution's missions of teaching, performance, and community service. The University is an institution devoted to teaching and learning, and producing new knowledge. We do these at world-class levels. The challenges facing us as we work to be more inclusive and provide a welcoming environment will respond to our skills as teachers and learners. We can apply these skills to the continuing work of transforming our environment in ways that enable greater participation, enhance human dignity, eliminate prejudice and discrimination, and improve the quality of life for everyone.

Allen University has long been committed to the concept of equal employment opportunity. The University values diversity and is committed to equal opportunity for all persons regardless of age, color, disability, ethnicity, marital status, national origin, race, religion, sex, or veteran status. Further, the University complies with all applicable non-discrimination laws in the administration of its policies, programs, and activities.

Affirmative Action

The University seeks to employ high caliber faculty. The Vice President of Academic Affairs is designated as the affirmative action coordinator for faculty, and the director of human resources is designated as the affirmative action coordinator for staff. The department heads and supervisors are responsible for the implementation of the affirmative action plan in their areas of responsibility.

Equal Employment Opportunity Policy Statement

To accomplish its mission, Allen University seeks to select and employ qualified individuals, and does not discriminate in recruiting, hiring, training, promoting, firing, compensation or terms, conditions or privileges of employment on the basis of race, color, gender, pregnancy, national origin, religion, age or disability. Reasonable accommodations are made for qualified individuals with disabilities recognized by law, unless doing so would result in an undue hardship or direct threat to Allen University.

Unfavorable speech or actions by employees regarding age, disability, race, color, gender, pregnancy, religion, or national origin of other employees, agents, contractors, vendors, clients, or others affiliated with Allen University will not be tolerated. This

type of behavior can lead to discipline, up to and including dismissal, at the sole discretion of Allen University.

All employees are expected to comply with our Equal Employment Opportunity Policy.

Anti-Harassment Policy

Purpose: To promote a productive work environment that is free of illegal forms of harassment, to provide definition and ensure that violations are remedied.

Policy: Allen University is committed in all areas to provide a work environment that is free from harassment. It is the policy of Allen University to promote a productive work environment and not tolerate harassment based upon an individual's sex, race, ethnicity, national origin, age, religion, or any other legally protected characteristics. Verbal or physical conduct by any employee that harasses disrupts, or interferes with another's work performance or that creates an intimidating, offensive, or hostile environment is prohibited. All employees, including supervisors and other management personnel, are expected and required to abide by this policy. No employee will be adversely affected in employment with the employer as a result of bringing complaints of substantiated unlawful harassment. Any employee engaging in improper harassing behavior will be subject to disciplinary action, including possible termination of employment.

Privacy/Confidentiality

The University will respect the privacy of all complaints, the individual(s) against whom the complaint is filed against and the witnesses as much as possible, consistent with obligations to investigate, to take appropriate action, and to conform with any discovery or disclosure obligations. All records generated under the terms of this policy shall be maintained as confidential to the extent permitted by law.

General Information

Employees are expected to maintain a productive work environment that is free from harassing or disruptive activity. No form of harassment or offensive conduct will be tolerated but the University places emphasis on prohibiting sexual harassment. Each supervisor and manager has the responsibility to keep the workplace free of any form of harassment. Employees, supervisors and managers are responsible for reporting and resolving harassment complaints. No supervisor or manager is to threaten or insinuate, either explicitly or implicitly, that an employee's refusal or willingness to accept harassment will affect the employee's terms or conditions of employment.

Harassment is defined as verbal or physical conduct that denigrates or shows hostility or aversion toward an individual because of his race, color, age, religion, national origin, sex, disability, or pregnancy and that:

- Has the purpose or effect of creating an intimidating, hostile, or offensive working environment.
- Has the purpose or effect of unreasonably interfering with an individual's work performance.
- Adversely affects an individual's employment opportunities.

Complaint Procedure

Any employee who believes that a supervisor's, manager's, or other employee's actions or words constitute unwelcome harassment has a responsibility to report or complain about the situation as soon as possible but within 180 days of alleged act. The report or complaint is made to a supervisor, Vice President of Department, or Human Resource Manager. If the complaint is made to a supervisor or Vice President of the Department the complaint must immediately be reported to the Human Resource Manager.

Complaints or reports of harassment will be handled and investigated promptly and in an impartial and confidential manner. Employees are required to cooperate in any investigation. A timely decision regarding each complaint will be reached and communicated to the parties involved within 30 days.

All inquiries, complaints, and investigations are treated confidentially. Information is revealed strictly on a need-to-know-basis. The identity of the employee lodging a complaint usually is revealed to the individual accused of the policy violation. No employee will be intimidated, threatened, coerced, discriminated or retaliated against for filing a complaint, providing information orally or in writing, or for participating in a complaint investigation. Any employee, supervisor, or manager who is found to have violated this policy will be subject to appropriate disciplinary action, which may include termination.

Additionally, if an investigation of a complaint shows that the complaint or information was false, the individual who knowingly provided false information will be subject to appropriate disciplinary action, which may include termination.

Non-Fraternization Policy

It is not Allen University's intent to interfere with the off-duty or personal conduct of its employees, or regulate social interactions between employees or relationships entered into freely. Nonetheless, in order to prevent unwarranted harassment or sexual harassment claims, uncomfortable working relationships, morale problems among other employees, and the appearance of impropriety, employees are prohibited from

engaging in consensual romantic or sexual relationships with another employee during working hours or at anytime with a student of Allen University.

For questions regarding this policy or its application, please contact Human Resources. Such inquiries will, to the extent possible, be treated as confidential.

Americans with Disabilities Act Policy Statement

The University is committed to complying with all applicable provisions of the Americans with Disabilities Act (“ADA”). It is our policy not to discriminate against any qualified employee or applicant with regard to any terms or conditions of employment because of such individual’s disability or perceived disability so long as the employee can perform the essential functions of the job. Consistent with this policy of non-discrimination, the University will provide reasonable accommodation to a qualified individual with a disability as defined by the ADA, who has made the University aware of his/her disability, provided that such accommodation does not constitute an undue hardship on the University. Faculty with a disability who believe they need a reasonable accommodation to perform the essential functions of their job should contact Human Resources.

Procedure for Requesting an Accommodation

On receipt of an accommodation request, the human resources director will meet with a faculty member and the Vice President of Academic Affairs to discuss and identify the precise limitations resulting from the disability and the potential accommodation that the University might make to help overcome those limitations. The President will determine the feasibility of the requested accommodation considering various factors, including, but not limited to, the nature and cost of the accommodation, the University’s overall financial resources and the accommodation’s impact on the University’s overall operation, including its impact on the ability of other employees to perform their duties and on the University’s ability to conduct business. The employee will be informed of President’s decision on the accommodation request or on how to make the accommodation. If the accommodation request is denied, employees will be advised of their right to appeal the decision by submitting a written statement explaining the reason for the request. If the request on appeal is denied, that decision is final.

The ADA does not require the University to make the best possible accommodation, to reallocate essential job functions, or to provide personal use items (i.e., eyeglasses, hearing aids, wheelchairs, etc.). An employee or job applicant who has questions regarding this policy or believes that he/she has been discriminated against based on a disability should notify the human resources director. All such inquiries or complaints will be treated as confidential to the extent permissible by law.

Conflicting Employment Relationships (Nepotism)

In general, there are only minimal limitations of employment or continued employment of any person because of a conflicting relationship with another member of the University faculty or staff. Employment is limited only when necessary to avoid conflicts of interest and provide reasonable assurance that each person can carry out the responsibilities of his or her position as objectively as possible. Where employment would be in conflict, the problem sometimes may be avoided by adjustment of the duties assigned to one or both of the individuals or by modification of the administrative relationships of their positions, or both. Such adjustments may be made whenever reasonable but are not acceptable if they will have significant adverse effect on the evaluation of the positions or on the orderly operation of the department or other offices concerned.

Anti-Nepotism Policy

Members of an employee's immediate family will be considered for employment on the basis of their qualifications. Immediate family may not be hired, however, if employment would:

- Create a supervisor/subordinate relationship with a family member;
- Have the potential for creating an adverse impact on work performance; or
- Create either an actual conflict of interest or the appearance of a conflict of interest.

This policy must also be considered when assigning, transferring, or promoting employees. For the purpose of this policy, immediate family includes spouse, parent, child, sibling, in-law, aunt, uncle, niece, grandparent, grandchild, and members of household. Faculty who become immediate family members or establish a romantic relationship may continue employment as long as it does not involve any of the above. If one of the conditions outlined should occur, attempts will be made to find a suitable position within the University to which one of the employees will transfer. If the faculty members become immediate family, the University will make reasonable efforts to assign job duties to minimize problems of supervision, safety, security, or morale. If accommodations of this nature are not feasible, the faculty members will be permitted to determine which of them will resign. If the faculty member cannot make a decision, the University will decide in its sole discretion who will remain employed.

WORKPLACE ENVIRONMENT

Violence in the Workplace

Allen University strongly believes that all employees should be treated with dignity and respect. Acts of violence will not be tolerated. Any instances of violence must be reported to the Vice President of Academic Affairs and/or the Human Resources Director immediately. All complaints will be fully investigated. The University will

promptly respond to any incident or suggestion of violence. Violation of this policy will result in disciplinary action, up to and including immediate dismissal.

Campus Emergencies

In the regular operation of every institution, it is inevitable that there will be occasions when routine operations are interrupted, and in extreme instances suspended altogether. These occasions may be due to weather, fires, strikes, or organized student demonstrations. In all such situations, it is important for staff, faculty and students of the University to see that all functions and services go on as far as possible.

Fire

Familiarize yourself with the location of every fire extinguisher in the building and how to use them to extinguish a blaze. Although fire extinguishers are provided for your safety, it is preferable that all faculties help to quickly evacuate the buildings and allow professional firefighters to extinguish the blaze. Every fire event should involve the Fire Department, even if it appears to have been extinguished by a staff member. Often fire can continue to smolder undetected. All fires must be reported.

First Aid

Any injury while on the job, no matter how minor, should be reported promptly to employee's immediate supervisor, coordinator, or division chair. Aside from the desirability of reporting an injury so that it may be properly treated, it is important that the Office of Human Resources be furnished immediately with a Report of Injury Form with complete information regarding the employee's injury. Prompt reporting of an injury will tend to insure the appropriate protection of the employee.

A first aid kit is located in the Human Resources office. Please report all injuries to Human Resources as soon as they occur. The forms are located in Human Resources (see appendix). If a faculty member is injured on the job, the University provides coverage and protection in accordance with applicable state Worker's Compensation Laws. When a Faculty member sustains an injury while at work, it must be reported immediately to the Vice President of Academic Affairs, who in turn will notify the human resources director of the incident. Failure to report accidents is a serious matter as it may preclude coverage under Worker's Compensation Laws.

Open Door Policy

The University endeavors to promote an atmosphere whereby faculty can talk freely with the Vice President of Academic Affairs. Faculty members are encouraged to openly discuss any problems or concerns so appropriate action may be taken. If the Vice President of Academic Affairs cannot be of assistance, the Human Resources Director is available for consultation and guidance. Allen University is interested in the success of its entire faculty. Therefore, the institution welcomes the opportunity to help whenever feasible.

Substance Free Workplace

Allen University is committed to providing a safe workplace and establishing policies that promote high standards of employee health and safety. Consistent with the spirit and intent of this commitment, it is the University's intention to maintain a drug/ alcohol-free workplace. The intent of this policy is to prevent the use of drugs and alcohol in the working environment. Use of these substances poses a serious threat to the health and safety of all employees. In compliance with current state and federal law, it is the policy of Allen University that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance defined as those drugs or substances listed in schedules I through V of the federal Controlled Substance Act, including but not limited to marijuana, cocaine, heroin, opiates and amphetamines – not included are substances used in accordance with a valid prescription from the employee's physician, is prohibited in the workplace, including while in travel status for the University. Such unlawful activity will be considered grounds for a serious adverse personnel action, including dismissal from employment.

The use, possession, transportation, promotion, or sale of illegal drugs or alcohol by anyone at work is absolutely prohibited. "Substance Free" for the purpose of the policy, shall be defined as not: (1) reporting to work or working while under the influence of or impaired by alcohol or any other drug; (2) chemical dependence on alcohol or other drugs where job performance or safety of employees is adversely affected; or (3) the use of illegal drugs. The term "illegal drugs" as used in this policy includes, but is not limited to, marijuana, cocaine, heroin, phencyclidine, amphetamines, and similar drugs, whose possession and use are prohibited under either state or federal law, as well as prescription drugs unless validly prescribed by the employee's physician.

E-mail System and Internet Policy

The e-mail system is the property of Allen University and it is provided for use in conducting the University's business. All communications and information transmitted by, received from, or stored in this system are records of the University and property of Allen University. Faculty has no right of personal privacy in any matter stored in, created, received or sent over the University's E-mail system. In addition, Allen University, in its discretion as owner of the E-mail system, reserves and may exercise the right to monitor, access, retrieve and delete any matter stored in, created, received, or sent over the E-mail system for any reason without the permission of any faculty member. Visiting unauthorized web sites containing pornographic, subversive, racist, sexist or hate group material of any kind is strictly forbidden and will result in adverse personnel action up to and including termination.

Patent Policies and Copyright Issues

The University encourages research of other scholarly activities, which might lead to patentable interventions or discoveries. The University requires full disclosure when an employee or faculty member develops patentable discoveries during the course of employment by the University or with the use of University facilities or resources. The University may require assignment of such inventions or discoveries to the University or its nominee. Faculty members should follow guidelines published by external support agencies might have policies that relate to control of patents.

Personnel Records

To keep necessary organization records up to date, it is extremely important that you notify your department chairperson and human resources of any changes in:

- Name and/or marital status
- Address and/or telephone number
- Number of eligible dependents
- W-4 deductions
- Person to contact in case of emergency

Direct Deposit

Employees may be paid by check or through direct deposit using saving and checking accounts at their bank of choice (providing the bank has direct deposit capabilities). To activate direct deposit, a Direct Deposit Authorization form (see appendix) must be completed and returned, with a voided personal check to the Human Resources office. An employee will receive a regular check if he/she does not choose direct deposit. In the event of a lost paycheck, the human resources department must be notified in writing before a replacement check can be issued. In the event the lost paycheck is recovered and the University identifies the endorsement as that of the employee, the employee must remit the amount of the replacement check to the University within 24 hours of the time it is demanded.

Statement of Earning

A statement of earnings is given each payday to employees indicating:

- Gross Pay
- Statutory Deductions
- Voluntary Deductions

The number of exemptions claimed on form W-4, Employee's Withholding Allowance Certificate, affects the amount of Federal withholding. If an employee's marital status changes or the number of exemptions previously claimed increases or decreases, a new form W-4 must be submitted.

ON THE JOB

Office Hours

Full-time faculty are required to maintain a minimum of ten (10) office hours per week to provide assistance to students and maintain normative course management and faculty responsibilities. These shall be posted on office doors at the beginning of each semester and copies shall be filed with their division chairpersons and the Office of Academic Affairs. Faculty members shall provide written notification of prospective changes in office hours to the Vice President for Academic Affairs and the Division Chairpersons for their approval. Adjunct faculty must arrange a reasonable time frame, and pledge 3 hours weekly to meet with students on an individual basis.

Absence from Campus

Faculty members who anticipate an absence from campus or their classes because of official or personal business or an emergency are required to complete a leave form. When possible, the form shall be submitted to the immediate supervisor in advance to allow sufficient time for the necessary signatures to be secured and copies sent to the faculty person prior to the first day of the requested absence. In emergency situations, the form shall be completed and submitted to the immediate supervisor and the Vice President of Academic Affairs on the first day of return. When an anticipated absence involves missing one or more classes, the faculty person complete a "Faculty Absence Approval Form" in addition to the general employee leave form. All forms shall be submitted to the chairperson and the Vice President for Academic Affairs, to show that the faculty person has arranged for class coverage during his/her absence. Leave forms are available in the Human Resources office

Attendance, Punctuality, and Dependability

Because the University relies heavily on its faculty for quality instruction, it is important that faculty attend work as scheduled. Dependability, attendance, punctuality, and a commitment to on-the-job excellence are essential at all times. As such, faculty members are expected to work on all scheduled workdays and to report to work on time.

Appearance and Conduct

Faculty members are expected to dress professionally on a daily basis as models of professional dispositions for students, etc. Faculty members should consult the guidance of the office of the Vice President of Academic Affairs or Human Resources if unclear about appropriate decorum.

Faculty/Student Relationships

The Vice President of Academic Affairs, Division Chairpersons, and faculty share responsibility for providing educational counseling to students. The direct involvement of the faculty in this effort is an expectation of Allen University. Allen University also has resources available for additional academic, vocational or personal counseling of students. These resources include University ministry, counseling and Student Services, and Student Health Services. A student's right to confidentiality will be respected in accordance with established professional standards. Faculty members at times are

called upon to serve the University by acting as advisors to student organizations. The Vice-President for Student Affairs makes such appointments, with permission of a faculty member's division chairperson.

Faculty Member

An Allen University faculty member is an employee who has the primary responsibility for teaching (providing instruction, academic services, advising, and counseling) and / or scholarly activities.

Faculty Teaching Qualifications

Faculty should have a terminal degree or Masters degree from a regionally accredited institution or international equivalent within a recognized discipline to teach courses in the University curricular pertaining to his or her graduate training. To teach in any other area, 18 hours of coursework at the graduate level in the subject area must be obtained.

Expectations of Faculty

The General duties and responsibilities of the faculty shall include, but are not limited to:

- Assisting with the development of admissions policies
- Providing effective instruction: Faculty Load - Chairs (9-16 hours) Fulltime Faculty (12-16 hours) and Adjunct faculty (3-9 hours) per semester
- Assisting with the development of policies regarding academic standards, the grading system, class attendance, academic honors and awards, course loads and degree requirements
- Making recommendations regarding the academic program to the Board of Trustees
- Fulfilling responsibilities to committee(s)
- Serving as chairpersons for extracurricular activities
- Serving as advisors for students and student organizations
- Participating in the registration and recruitment events
- Participating in the Pre and Post-Planning conferences
- Participating in Baccalaureate and Commencement Exercises. Faculty persons shall be responsible for the rental fees for academic regalia
- Updating personnel files annually. Faculty members shall be responsible for providing current resumes and information regarding additional graduate course work and/or degrees
- Obtaining and completing a clearance form from the Vice-President for Academic Affairs at the end of the academic year. Faculty persons shall be responsible for making sure that all academic matters have been appropriately discharged before receiving their final paychecks

- Allen University celebrates faculty growth and development. The institution encourages faculty to pursue and initiate faculty development activities. Institutional and Title III funds are available for this purpose
- The planning and participation of C.A.R.S. events and other campus events

Academic Freedom

Allen University upholds the American Association of University Professors philosophy on academic freedom. Because a university, as a center of learning, hinges upon the free search for truth and free exposition, Allen University pledges to defend the academic freedom of its faculty against any infringement and adopts/upholds/embraces these guidelines in particular:

- Faculty members shall be granted full freedom in research and publications. However, all research grants or contracts involving remuneration for faculty from a source outside the institution shall be negotiated with the University.
- Faculty members shall be entitled to teach according to the dictates of their professional conscience, and students shall have the right to learn.
- Faculty members must work within the core values of the University. Faculty should at all times be accurate, exercise appropriate restraint and recognize their special obligation to the institution and the community.

Responsibilities of Faculty

As scholars, the faculty should strive for excellence by the innovation, exchanging of ideas, spreading, integration, and application of knowledge. These are accomplished through the faculty's general responsibilities in the areas of teaching, research, and service to the University. These responsibilities include but are not limited to:

Teaching: Faculty members are expected to prepare for and teach classes as scheduled. This includes an obligation to prepare and grade student examinations in a timely fashion as well as an obligation to be available for a reasonable number of hours each week for consultation with students. No teacher or chairperson is authorized to change the scheduled hour of a class or the scheduled time of a final examination without the permission of the Vice President of Academic Affairs.

Research: Faculty must follow all ethical guidelines governing conduct in research information.

Service to the University: Faculty members are expected to serve on University, and departmental committees; to attend meetings; and to participate in student advising, convocations and commencements.

Student Advisement:

Division Chairpersons shall assign students to faculty members in their respective area for advisement. Advisors shall confer with students each semester to discuss their academic program and to assist them in preparing class schedules for the following semester. Advisors shall also keep a folder for each student and coordinate closely with the Office of Academic Affairs in monitoring students' academic progress.

Faculty Meetings:

Generally, faculty meetings will be held monthly during the regular academic year. At least 2/3 of the membership must be present to constitute a quorum. All full-time faculty members are required to attend. Part-time faculty members also are invited to participate in these meetings. The Vice President for Academic Affairs shall meet with Division Chairpersons on a regular basis throughout the academic year.

Faculty Committees:

Faculty members shall serve on committees that deal with academic, administrative and student affairs. The faculty shall assist with recruiting and recommending new faculty within their respectful academic areas. In addition, faculty shall be actively involved in developing policies for the following activities: curriculum development, admissions, instructional procedures, degree requirements, grades and credits, academic honors, class attendance, course loads, service of academic committees, and policies for academic freedom and tenure. The faculty shall also participate in establishing the rules and procedures for the governance of the University.

Specific faculty responsibilities are determined by the chairperson of each division in consultation with the Vice President of Academic Affairs. Faculty members are also responsible for following all federal and state laws and University policies governing their research and teaching.

The Vice President for Academic Affairs, with consent of the President of the institution, shall designate subcommittees to discharge the duties or examine matters related to the academic program or the various functions of the institution. These committees shall include, but are not limited to, the following:

- Admissions
- Facilities
- Assessment
- Commencement
- Awards
- Health & Wellness
- Benevolence
- Library
- Curriculum Review
- Orientation
- Search Committee
- Convocation
- Judiciary

Curriculum Review Committee

The Curriculum Review Committee shall be composed of the Vice President for Academic Affairs, and (1) faculty member from each division. The President serves as an ex-officio member of the committee. The function of the Curriculum Review Committee shall be to review and recommend policies related to the academic program for faculty consideration.

These matters shall include but not be limited to the following:

- Curriculum instruction
- Library service, programs and holdings
- Academic probation and suspension
- Recruitment and admissions
- Student advisement and
- Concerns that affect the academic program

Curriculum Development Process

- Assessment of Needs
- Curriculum Adjustments (Monthly Dept. Meetings)
- Division Review - Division discussion for revisions and approval. Information will be submitted to the Vice-President of Academic Affairs for review and approval to submit to the Curriculum Review Committee.
- Curriculum Review Committee - Chair of division submits, in writing, a request for consideration of changes to the curriculum. A formal presentation will be made to the committee for evaluation, clarification and approval.
- Chair of Curriculum Review Committee submits documents along with the official committee response to the Vice President of Academic Affairs.
- The Vice President reviews documents and assigns date on faculty calendar for discussion.
- Faculty review information and vote.

- Vice President submits faculty action to President
- President submits final requests to the Board of Trustee for action.

Timelines for this process may begin at any time throughout the academic year.

Examination

Examination periods are scheduled at the mid-point and end of each semester. Faculty members shall submit grades to the Registrar. A copy of the final examinations administered in each course shall be submitted to chairpersons in each division.

Grade Books/Reports

Faculty members are to maintain a grade book, containing the names of students enrolled in their course, the grade received and a record of attendance. Faculty member shall submit grade reports in accordance with the announced schedule. Failure to submit grade reports on time will cause delays of students receiving their grades. Grade books along with grade report forms shall be submitted to the Division Chairperson at the end of the school year and upon termination of employment.

Course Syllabi

Faculty members shall prepare a syllabus for each course that they are assigned to teach. Faculty members are to adhere to the syllabus template provided by the Office of Academic Affairs to ensure consistency of standards and document quality. A copy of each course syllabus shall be submitted to the Division Chairperson and the Office of Academic Affairs, prior to the first day of class. A copy of the syllabus shall be given to each student enrolled in the course on the first meeting of the class.

Textbooks

Textbook orders are to be completed in conjunction with the Division Chairpersons when submitting course requirements for a given semester. This information should be submitted to the Vice President for Academic Affairs

Professional Development

Allen University is committed to the professional growth of its faculty. The Faculty development policy is as follows:

- Professional developmental requests must be turned in with Budget summaries at the Faculty and Staff Institute in August of each year. These requests must be submitted to chairpersons in writing.
- Prioritization of Requests:
 1. Major papers,
 2. Chair of Association, Committee, Conference or Panel,
 3. Officer of Association, Committee or Panel,

4. Prior involvement with particular Association, Committee or Panel and;
5. Desire to attend workshops and conference,
6. All documentation (i.e., requisitions, supporting materials) must be submitted at least one month prior to the date of activity

Faculty Contracts

Each faculty person who is appointed or reappointed shall receive a contract or letter of appointment, which designates that he/she, is being appointed to the faculty. The contract shall designate the academic area to which the faculty person is being appointed; the title of any staff position that may be a joint part of the appointment; the beginning and ending dates of the contract; the personnel classification with regard to permanent or temporary, the annual salary; and any special provisions that may apply to the contract (**see appendix**).

Faculty Interests

The general faculty, subject to review by the President and Board of Trustees, shall have input in decisions pertaining to standards of admissions, registration, degree requirements, curriculum, instruction, research, co-curricular activities and matters pertaining to faculty welfare, including the discipline of members. The general faculty will also have the opportunity to recommend candidates to the Office of President for representation on the Board of Trustees.

Outside Employment

All full-time faculty members are expected under the terms of their contracts to devote their full time attention to their University duties. No full-time faculty member is to be employed in any other service or activity, which, in the judgment of the University, interferes with the performance of contractual obligations. Teaching in another institution is not permitted except with the advance written approval from the Vice President of Academic Affairs in consultation with the division chairperson. In exceptional cases where the extramural work is cognate with professional duties and where assurance is given that it will contribute to professional growth without interfering with obligations to the University, a faculty member may, after consulting with the division chairperson, request permission for such work from the Vice President of Academic Affairs. A copy of the written permission for such work shall be sent to the chairperson and to the Vice President. This approval may be given for a period not to exceed one academic year at a time.

Community and Professional Activities

As an indication of its commitment to the community and to the nation, Allen University encourages the faculty to perform civic duties and to contribute the formation of an alert and informed public.

Similarly, faculty members are encouraged to participate in professional societies pertinent to their disciplines and academic interests. A faculty member's identification of himself or herself by means of association with the University should not be assumed to carry with it the implication that such identification is representing the University officially. When there is reason to believe that such implication is likely to be taken, the faculty member should make every effort to indicate that he or she is not an institutional spokesperson. Neither the name nor symbols of the University (including administrative titles and letterhead) nor any of its facilities or resources may be used for any commercial or other purposes, which are not authorized in writing. In no event may the name, symbols, or resources of the University be used to participate in or intervene in (including the publishing or distributing of statements) any political campaign on behalf of or in opposition to any candidate for political office.

PERFORMANCE AND EVALUATION

Recruitment

The Division Chairpersons and the Vice President for Academic Affairs in conjunction with the President shall be responsible for recruiting persons for appointment to the faculty. The following factors shall be considered in the selection of faculty. Prospective faculty must:

- Provide evidence of competence in their teaching fields(s). The Master's degree in the discipline shall serve as the minimum qualification for regular appointments
- Present personal and academic qualifications consistent with the mission of Allen University and the academic needs of the students
- Manifest a commitment to continuous professional development
- Comply with all SACS requirements for faculty members

The Vice President of Academic Affairs shall determine the need for additional faculty positions in consultation with Division Chairpersons. Subsequent recommendations will be forwarded to the President. If the President authorizes recruitment, the Vice President for Academic Affairs will notify the Division Chairperson to begin a search for candidates. Faculty in the respective areas will also be encouraged to assist in the search. Allen University reserves the right to reduce the number of faculty positions because of changes in institutional programs, decline in enrollment, decreases in revenue or other just reasons. Therefore, contracts are awarded on a yearly basis. Contracts are renewable only when it is mutually agreeable between the institution and

the faculty member. Notice of reappointment or non-renewal of faculty contracts will be made, whenever possible, one month before the expiration of the fiscal year.

Adjunct Employment Contract

Part-time faculty persons will receive notice of reappointment or non-renewal one month before the end of the fiscal year.

Faculty Rank

➤ *Instructor*

A person may be employed at Allen University as an Instructor, whether full or part-time, if applicant can provide evidence of an earned baccalaureate and master's degree, which must include a minimum of 18 graduate hours in teaching discipline.

➤ *Assistant Professor*

A faculty member may apply for the position of Assistant Professor providing: A) the applicant has been employed as an assistant professor prior to applying to Allen University; B) the applicant has submitted evidence of successful teaching and service at the college level, an earned doctorate or verification of the scheduled dissertation defense.

➤ *Associate Professor*

A faculty member may apply for the position of Associate Professor providing:

1. the applicant has been employed as an associate professor prior to applying at Allen University;
2. The applicant has at least five years of full-time experience as a college faculty member and demonstrates commitment to teaching and service at the college level and;
3. An earned doctorate from a regionally accredited institution with a minimum of 18 graduate hours in the discipline of instruction.

➤ *Professor*

1. A faculty member at Allen University may apply for the position of Professor, providing the applicant has qualified for and held the rank of associate professor for at least five years.
2. Has demonstrated outstanding abilities in teaching and service at Allen University.
3. The applicant for full professor should be recognized as a leader in the academic community and beyond.

Faculty Promotion Policy

When a faculty member meets the minimum qualifications for promotion, the applicant must submit five copies of a personal portfolio to the Vice President for Academic Affairs. The portfolio should include:

- Assistant Professor: A letter of application, current resume and copies of all college transcripts. Teaching evaluations, and evidence of service to the college and community
- Associate Professor: A letter of application, current resume, copies of all college transcripts, evidence of awards, recognition or achievements and evidence of scholarship, service or appropriate research. Teaching evaluations and letter of recommendation.
- Professor: A letter of application, current resume, copies of all college transcripts, evidence of awards, recognition or achievements and evidence of scholarship, service and appropriate research. Also, letters of recommendation from the Vice President for Academic Affairs and two colleagues, teaching evaluations from years prior to application or testimonial letters from students demonstrating excellence in teaching should be submitted.

An ad hoc faculty committee will be appointed by the Vice President for Academic Affairs and composed of at least one faculty member in the applicant's area and two who possess the rank to which the candidate desires promotion. When consensus is not possible, the decision will be a majority vote of the ad hoc committee. The Vice President of Academic Affairs, the Board of Trustees must approve all final decisions. Portfolios must be received by October 1st of each academic year. Candidates will be notified in writing of the outcome of their applications by March 30th, or prior to the issuing of contracts for the following year

Criteria for Promotion

Criteria for the granting of promotion at Allen University include excellence in scholarly accomplishment in teaching, research, service to students, the University, and professional contributions.

Promotion Procedures

The chairperson normally initiates requests for promotion. Any faculty member, however, may request to be considered for promotion. The Vice President of Academic Affairs informs departmental chairpersons annually of the names of those faculty members who have fulfilled the requisite number of years of service for consideration.

In the event of a denial of promotion by the Vice President of Academic Affairs, a faculty member may request reconsideration of the adverse decision. A faculty member may voluntarily withdraw from the promotion review process at any time.

Performance Review

In order to attract and retain a highly qualified and competent faculty, Allen University has instituted an annual evaluation program. This allows faculty to be assessed in a fair and equitable manner based upon demonstrated job performance, and in accordance with its Equal Employment Opportunity policy.

The Division Chairperson and/or the Vice President for Academic Affairs will conduct evaluation of the faculty annually. Student evaluations may also be utilized for assessment purposes. The evaluation criteria will be based on teaching and service to the institution and community. The results obtained from faculty evaluations will be used to enhance personnel decision-making, faculty development, and curricula offerings on an annual basis. The division chairperson may review performance throughout the year, at his/her discretion.

The Department Coordinator will conduct evaluations of adjunct faculty at least once per year. The evaluation criteria will be based on instruction of student evaluations and additional instructional responsibilities.

Annual Evaluation

The Division Chairperson evaluates the performance of each full-time faculty member annually, including instruction and other duties. The faculty member is invited to submit materials, which the chairperson requires or the faculty member believes will be helpful for an adequate consideration of performance. The chairperson then completes the form and schedules a conference with the faculty member to review the evaluation. After the conference, the faculty member signs the form indicating that he or she has seen the chairperson's comments and recommendations. The evaluation form is forwarded with appropriate supporting materials to the Vice President of Academic Affairs for comment. The University annual evaluation form and appropriate supporting materials become part of the faculty member's official file, which is located in the office of the Vice President of Academic Affairs. A faculty member may, upon request, see the annual assessment form at any stage of the evaluation (see appendix).

LEAVE

Faculty Work Calendar - Time off

Faculty persons shall be appointed on an annual basis depending upon enrollment. The calendar shall begin in August with the Faculty Institute and after Faculty/Staff Institute Retreat (usually mid-May). The semester contract period is for a specified period of time, from August through May.

Faculty Work Calendar shall provide the following holidays:

- Labor Day - the first Monday in September
- Thanksgiving Holiday Vacation - from 5pm, Tuesday prior to Thanksgiving to 8:00 am, Monday following Thanksgiving “(except block schedule)”

- Christmas Holiday Vacation – (See Academic Calendar)
- Martin Luther King's Birthday Observance - the second Monday in January
- Spring Vacation Holiday - One week vacation generally scheduled at the Midpoint of the Spring semester in March and
- Good Friday

Jury Duty - Time Off

A leave of absence for jury duty will be granted to any full-time faculty member who has been notified to serve. A faculty member on jury duty is expected to report to work any day he/she is excused from jury duty or any day he/she is excused before noon and his/her classes begins after that time. Upon receipt of the notice to serve jury duty, the faculty member should immediately notify his/her department chairperson. Additionally, a copy of the notice to serve jury duty must be sent to the Human Resources Office for accurate record keeping purposes. Upon the employee's return, the faculty member must report to his supervisor and submit a signed Certificate of Jury Service indicating the number of days served. If the jury duty falls at a time when the faculty member cannot be away from work, the University may request that the employee seek a more alternate time to serve in accordance with the court's procedures.

Military Leave

A faculty member who is a member of the United States Army, Navy, Air Force, Marines, Coast Guard, National Guard, Reserves, or Public Health Service will be granted an unpaid leave of absence for military service, training or related obligations in accordance with applicable law. At the conclusion of the leave, upon the satisfaction of certain conditions, a faculty member generally has a right to return to the same position he/she held prior to the leave or to a position with like seniority, status, and pay that the employee is qualified to perform. Upon receipt of orders for active or reserve duty, a faculty member should notify his/her department chairperson immediately and submit a copy of the military orders (unless he/she is unable to do so because of military necessity or it is otherwise impossible or unreasonable)

Sick Leave-(See Employee Handbook)

All full-time employees are eligible to accrue fifteen (15) Sick Leave Days per year. Sick Leave begins to accrue July 1st of each year at a rate of ten (10) hours per month accruing on the 26th day of the month. All full-time faculty members are eligible to accrue 10 Sick Leave Days per academic year. Faculty Sick Leave will accrue August of each year at a rate of one (1) day per month accruing on the 26th day of the month. A maximum of 5 Sick Leave days may be carried over from one fiscal year to the next. All other unused Sick Leave will be forfeited on June 30th of each year.

Sick Leave is provided for the employee's own illness or injury, to care for a sick child, a parent, or spouse and for appointments with a healthcare provider. Employees may use sick leave in increments of one (1) hour or more. Such time shall be deducted from the employee's accrued Sick Leave balance. Employees may not take Sick Leave unless and

until they have accrued such Leave. Under limited circumstances, an employee may request a special exception to this rule and borrow against the accrual of Sick Leave. Such request shall be treated as an employee loan and must be approved by the Department Vice President and Human Resources. In the event the employee has a negative Sick Leave balance at the time of his/her termination, Allen University shall deduct the outstanding loan amount from the employee's final paycheck. When a University-designated holiday falls on a sick leave day, that day will not be charged as a sick day for compensation purposes it shall be treated as a holiday. Employees are not entitled to be paid for accrued, but unused Sick Leave upon termination of their employment. Employees are not otherwise entitled to pay in lieu of taking Sick Leave.

Sick Leave should be requested on the "Authorization for or Notice of Employee Absence from the Campus" form with your immediate supervisor's approval then sent to the Human Resources Department prior to taking Sick Leave. When possible employees should submit a sick leave request to their immediate supervisor for approval prior to taking leave and the supervisor should forward the leave request to Human Resources. In the case of an emergency and the employee is unable to obtain prior approval for sick leave the employee must submit the leave request to their immediate supervisor on the first day back to work and the supervisor must forward the leave form to the office of Human Resources.

If an employee has three consecutive days of absences due to illness Human Resources should be notified. A doctor's statement may be requested at the discretion of the supervisor and Human Resources. The University also reserves the right to request proof of illness from an appropriate medical provider, as the University deems necessary. Notwithstanding the University's willingness to provide sick leave, attendance is important.

Accrued sick leave must be used (and substituted for unpaid leave) prior to an employee taking any uncompensated time off pursuant to the Family and Medical Leave Act. Sick leave will not accrue during time off pursuant to FMLA leave unless the employee completes 50 percent of his or her assigned hours for the month in question.

Bereavement Leave

Bereavement Leave will consist of three (3) days with pay in the event of the death of an employee's immediate family member. Immediate family is defined as, parents, grandparents, children, brother, sister, spouse and spouse's parents.

Family Medical Leave

Leave under the Family and Medical Leave Act (FMLA)-(see employee handbook)

Performance Appraisal

The length of the leave will extend the normal performance appraisal date of an employee on an unpaid leave of absence.

BENEFITS

Employee Benefits

This information summarizes the benefit plans offered by Allen University. However, the University reserves the right to discontinue, add to, or modify any of the benefits described herein. Each plan has specific enrollment requirements. Plan Documents and additional material for each plan are provided to all eligible employees at the time of enrollment. Employees should contact the office of Human Resources for notification of updates to the Employee Handbook.

Major Medical Insurance

Full- time faculty who meet plan eligibility requirements are enrolled in the Allen University Group

Medical Insurance Plan

This plan includes medical, dental, vision and prescription drug coverage. Details of plan coverage are provided in Human Resources. Copies of each are given to eligible employees at the time of enrollment. The University pays 65% premium for all eligible employees. Dependent coverage is available at the time of hire or when there is a change of status. The University covers long-Term disability at 100%. Short-Term Disability and additional Life Insurance is optional through supplement.

Group Supplemental Retirement Annuity (GSRA)

All eligible employees of the Institution can participate in the GSRA Plan. Eligible employees are all employees other than leased employees or persons employed by a contract service provider. Participation is voluntary and may begin on the first of the month following employment. All enrollees receive a GSRA kit and Summary Plan Description at the time of enrollment. Enrollment is OPEN throughout the year and changes can be made at any time throughout the year.

COBRA (Consolidated Omnibus Budget Reconciliation Act)

COBRA law provides continuation of group health coverage at the employee's expense that otherwise might be terminated due to a qualifying event such as death, termination of employment, reduction in hours, divorce, Medicare entitlement, loss of dependent status or bankruptcy of the employer. Medical benefit plans covered under COBRA are

health, vision, prescription drugs and medical spending accounts. Plans not covered are Life, AD & D, LTD; dependent care accounts and other non-health benefits. **You are to notify the Human Resource office immediately should you encounter a COBRA qualifying event such as divorce, loss of dependent status or receive a notice of disability determination.** An initial *COBRA Notice* is included in the New Hire Packet. The Group Medical Plan document contains COBRA information.

Unemployment Compensation

Allen University, in accordance with SC law, pays charges for unemployment benefits. There is no cost to employees. Terminated employees should check with the Unemployment Compensation Division of the SC Employment Security Commission to learn if they meet eligibility requirements for unemployment benefits.

Worker's Compensation Benefit

The University is covered under statutory state Workers' Compensation Laws. **Any employee who experiences an illness or injury in connection with his/her employment here MUST immediately report it to his/her supervisor.** Please have available the names of any witnesses. All supervisors should follow appropriate policies and procedures in reporting the claim. If there are questions, contact Human Resources at extension 2700. FMLA leave will be applied to any leave and period of absence resulting from a job related injury or illness.

LEAVING ALLEN UNIVERSITY

Resignations by Faculty

An individual who determines that he/she is unable to fulfill a contract shall inform his/her department chairperson. The faculty member in consultation with the administrator shall decide the date of termination of services. Consideration shall be given to the educational well-being of students and the general welfare of the institution in deciding the effective termination date. The faculty member must give 45 days notice, obtain appropriate clearance forms from the Human Resources office and submit a letter of resignation to the division chairperson and Vice President of Academic Affairs. Faculty members intending to resign from the University are asked to provide notice of this intention as early in the academic year as possible.

Contracts between the University and its faculty members may be terminated at any time by mutual agreement.

Termination of Faculty

The granting of a full-time faculty member status is ordinarily interpreted as an agreement to employ the faculty member in his or her department until the faculty member retires, resigns, is terminated in accordance with the provisions of this

Handbook, or cannot fulfill his or her responsibilities. It is possible, however, that financial or other serious exigencies might require the University to reevaluate the continuation of full-time faculty in their positions. Should it become necessary to curtail or eliminate some educational programs and terminate some faculty appointments, the University pledges itself to the use of fair and effective procedures and to thorough exploration, with faculty, of alternatives that do not require termination. Such termination, although expected to be of extremely rare occurrence, is not to be confused with dismissal for cause as specified in the following paragraphs.

Dismissals

Grounds for dismissal for cause are (but not limited to):

- academic incompetence
- substantial neglect of academic duty as defined in one's contract and as specified in the Handbook;
- falsification of credentials; (d) falsification of research; (e) grave misconduct with respect to generally accepted standards of conduct for members of a University faculty.

Immediate Dismissals Conduct

In most circumstances, the University will initiate the release of any faculty member only after full consideration and documentation of all factors involved. However, any faculty whose conduct, actions or performance violates or conflicts with the University's policies may be terminated immediately and without warning.

Additional examples of grounds for immediate dismissal include, but are not limited to:

- Breach of trust or dishonesty
- Conviction of a felony
- Willful violation of an established rule or policy
- Falsification of company records, including time sheets
- Gross negligence
- Insubordination
- Violation of Non Discrimination and Anti-Harassment and/or Equal Employment

Appointment Policies

- Deliberate non-performance of work
- Theft or unauthorized possession of property belonging to Allen University or any coworker
- Excessive absenteeism or lateness
- Marring, defacing or other willful destruction of any supplies, equipment or property
- Failure to call or directly contact your department chairperson when you will be absent from work

- Fighting or breach of acceptable behavior
- Violation of the Drug and Alcohol Abuse Policy
- Leaving the work premises without authorization during scheduled hours
- Possession or use of unauthorized dangerous weapons on the premises
- Unauthorized use of computer equipment

This list is intended to be representative of the types of activities that may result in disciplinary action. It is not exhaustive, and is not intended to be comprehensive and does not change the employment-at-will relationship between the University and the employee. The termination, for cause, of an appointment at any time or the dismissal, for cause, of a faculty member at any time prior to the lapse of his or her existing term of appointment involves review and recommendation by the chairperson, and the Vice President of Academic Affairs. A decision will be made by the Vice President of Academic Affairs and recommended to the President. The President will then make the final decision.

EMPLOYEE COMMUNICATIONS AND PARTICIPATION

Informal Problem Solving

Allen University is concerned with any situation affecting the employment relationship, and is committed to trying to correct any condition or situation that may cause problems or misunderstandings. It is inevitable that problems and misunderstandings may occur. Therefore, Allen University has provided an orderly process for an employee to voice an opinion or discuss a problem with management without prejudice or fear of retaliation. In some instances the positive discipline plan may be used.

1. If an employee has a problem or complaint, the employee should discuss it with his or her immediate supervisor as soon as possible.
2. If the problem is not satisfactorily resolved or the problem is with the supervisor, the employee should discuss it with his or her department manager.
3. If the problem still is not satisfactorily resolved, the employee should discuss it with Human Resources.

Not all complaints can be resolved to everyone's satisfaction. However, in each case, the reason for the resolution will be explained clearly to the employee.

Positive Discipline

It is the University's expectation that faculty meet its standard of work performance. Work performance consists of many factors, including attendance, punctuality,

responsiveness personal conduct, job proficiency and general compliance with policies and procedures. If a faculty member does not meet these standards, the department chairperson in consultation with the Vice President of Academic Affairs may, under appropriate circumstances, take corrective action, other than immediate dismissal. The intent of corrective action is to formally document problems while providing the faculty member with a reasonable time within which to improve his/her performance. The process is designed to encourage growth by providing guidance in areas that need improvement, such as poor or unsatisfactory work performance, attendance problems, personal conduct, general noncompliance with policies and procedures and/or other disciplinary problems.

Purpose: To provide a structured means of solving unacceptable discipline problems in the areas performance, conduct, and attendance, consistent failure to meet deadlines, using inappropriate language in the workplace, tardiness, or inappropriate use of breaks. This is not a complete list of discipline problems associated with utilizing this process, but a list to give the employee an idea of commonly addressed offenses.

Policy: Allen University's Positive Discipline policy is intended to consistently be applied throughout the University, resolve discipline problems and encourages good performance through a method in which employees are treated with respect. The policy should be utilized for all employees. While positive discipline appears to be "progressive", managers should not interpret this guidance to require that each and every situation must follow the same progression. Some circumstances may require more severe discipline, up to and including termination, while a progressive approach is appropriate for other situations.

Solving discipline problems is a joint effort of the employee and the manager, and the focus should be to communicate an expectation of improvement rather than an expectation of future problems and eventual termination. The manager has the responsibility to ensure the employee is given specific performance expectations and the employee understands the terms and conditions of employment as well as policies, procedures, and work rules. The employee has the responsibility to fulfill all expectations and to notify the manager if expectations are unclear. The Positive Discipline Policy should be used by managers in accordance of the provisions outlined in this policy as soon as a problem is identified.

Employees should be notified of performance, conduct and attendance expectations before any of the formal steps of discipline are taken. Unacceptable performance will be defined as failure to meet performance expectations. Unacceptable conduct will be defined as (a) failure to

adhere to policies and procedures, and work rules; or (b) insubordination, misconduct, or conduct reflecting discredit to your department or the University. (c) Unacceptable attendance will be defined as failure to consistently report for work when scheduled.

Frequent open and honest communication between the employee and manager is encouraged whenever possible. An informal improvement discussion is appropriate at the first sign improvement is needed. The discussion is a form of coaching which is designed to assist the employee recognize a problem exists and to develop a solution and avoid further disciplinary action.

The manager should be sure the employee is coached and/or given feedback regarding the desired Behavior or improvement without any negative consequence prior to initiation of any formal steps of The Positive Discipline Process. Whenever improvement occurs, the manager should provide positive Feedback to recognize the employee's efforts, either before or after entering the formal discipline process.

Formal Discipline Steps:

The University has four steps in the Positive Discipline Process:

1. Oral Reminder
2. Written Reprimand
3. Decision-Making Leave
4. Termination

The four steps in the positive discipline process represent increasingly serious and/or repetitive infraction, and emphasize the consequences of failure to improve. In an effort to maintain consistency and fairness of application of the discipline process, all Written Reprimands and Decision-Making Leave communications must be reviewed by the Human Resources Office.

Definitions

Verbal Reminder: Verbal reminder is a disciplinary discussion between a manager and an employee. The manager should provide specific information regarding the problem, as well as an explanation of the expected performance and/or behavior. The manager should inform the employee that this is the first step of the formal disciplinary process. The manager should tell the employee that notes regarding the conversation will be kept in the employee's performance document but will not be placed in the personnel file. An employee may receive up to two Oral Reminders without automatically imitating the next step of the discipline process. However, if repeated problems exist in the same area an employee may receive only one Oral Reminder and for more serious

offenses this step may be skipped. The manager should inform the employee that the Oral Reminder will remain effective for three months.

Written Reprimand: A Written Reprimand is appropriate if the Oral Reminder does not produce sustained improvement in an employee's performance and/behavior or when appropriate because of the seriousness of the offense. A written Reprimand must be written by a manager and approved by Human Resources prior to being given to an employee. The Written Reprimand also begins with a disciplinary discussion between the manager and the employee, with additional information being given regarding the reason for progression to the Written Reprimand. The Personnel Director/Manager may serve as a witness during the meeting. A copy of the letter is given to the employee and a copy forwarded to Human Resources to become a part of the employee's personnel file. The manager should inform the employee the Written Reprimand will remain effective for six months.

Decision-Making Leave: Decision-Making Leave is utilized when Oral Reminders and Written Reprimands have failed to produce sustained improvement (or when appropriate because of the seriousness of the offense); an employee may be placed on Decision-Making Leave for a one day disciplinary suspension with or without pay. This action must be approved by the Department Head and Human Resources Director/Manager. The manager and Human Resources meets with the employee and discuss the severity of the problem. During this meeting the employee should be informed that the following work day will be considered decision-making leave, and that he/she will not be allowed to report to work at all that day. The manager should ask the employee to spend the day thinking about whether he/she is willing to commit to fully acceptable performance in all areas of employment or whether he/she would rather resign. The manager should also inform the employee that the Decision-making Leave will remain active for a period of twelve months, and should any further problems require disciplinary action during the twelve month period it will result in termination. On the first work day the employee returns, the employee must inform the manager of his/her decision. A memorandum of the decision is placed in the personnel file.

Termination: Termination usually occurs when the Positive Discipline process has failed to bring about a continuous improvement in an employee's performance or behavior. Termination may also occur without having initiated the Positive Discipline process if an employee is involved in a serious offense that continued employment will not be in the best interest of the University. Termination must be approved by the Department Head, Human Resources and in consultation with the President and General Counsel when appropriate. Terminations must be given to the employee in writing with a copy retained in the employees personnel file.

Grievance Process (Purpose and Guidelines)

The purpose of the Grievance Process is to provide (at-will) employees with a consistent and orderly process for resolving non-disciplinary employment conditions and/or decisions in a timely manner.

The grievance process establishes the sequence of procedure, the definition of eligible employees, the definition of grievable actions and the outcomes of the Grievance Procedure. Complete details are available in the employee handbook. The grievance process provides a more formal way to maintain a standard of personnel administration that ensures fair and equitable treatment of employees to try to resolve complaints, problems or grievances concerning an interpretation or application of policies and procedures, or perceived mistreatment by an employee or supervisor. The process is designed to promote unity, harmony and understanding. The process can only be used if an employee has attempted to resolve the problem through the informal problem solving process.

Employees will not be disciplined, discriminated against or penalized for attempting to resolve a problem or complaint through the grievance/appeal process. This does not mean, however, that an employee using the process will be exempt from appropriate corrective action or dismissal for legitimate reasons such as poor performance, negligence, or violation of conduct or safety standards.

To the extent reasonably possible, confidentiality will be maintained throughout the process. Information will be made available only to those directly involved in resolving the grievance and to those who have a clear business need for it.

Eligible Employees:

Employees who have been notified of suspension, demotion, disciplinary action, salary reductions, or termination or who are seeking relief for work related disputes through other administrative processes are not eligible to participate in the grievance process.

Throughout this process neither the employee with the complaint nor the one against whom the complaint has been registered may politic, or complain to others who are outside the channels provided in the grievance/appeal process. All parties are encouraged to consult with the Director of Human Resources at any point throughout the process to get clarification of policies, procedures, and the employees' responsibilities.

Grievable Actions

1. Any claim that the employee's personal employment has been affected by unfavorable employment decisions or conditions that affect the employee's personal employment.
2. An employee who is promoted and subsequently demoted prior to serving six months of satisfactory service in the new position or classification may not appeal the demotion unless the demotion results in the employee occupying a lower classification than the classification held prior to the promotion.
3. Matters that may not be grieved include dismissals, performance appraisals, letters of warning or reprimand, voluntary resignations and voluntary acceptance of a demotion or reassignment.
4. Promotion, compensation, or reduction-in-force may not be grieved.

Grievance Procedure

1. The grievance must be in writing within 10 workdays of the event, state specifically what is being grieved, what relief is being sought, and include a description of any effort to settle the grievance informally. The grievance should be submitted directly to the Human Resources Office.
2. The Human Resources Director will answer the grievance in writing no later than 10 business days following receipt of the written appeal. The Human

Resources Director may conduct consultations with other employees or persons as is necessary to render a decision.

3. The Human Resources Director will review the grievance complaint to determine whether the issue is appropriate to be processed through the grievance procedure and whether the grievance was filed timely. Within 10 workdays, the Human Resource Director will determine:
 - The issue(s) is non-grievable and an explanation for that decision
 - The issue(s) is grievable and an explanation of the next step of the process
 - The issue(s) is grievable, but if alleging unlawful discrimination, will be processed through the University's discrimination complaint procedure.
4. Should an agreement not be reached, a hearing will be held and the Human Resources Director shall establish a grievance committee consisting of four persons of which: (a) two will be department heads or supervisors, and (b) two staff employees at large (employees who do not fit in the previous category). Faculty may not serve on a staff grievance committee unless permitted by the staff employee/grievant.
5. The hearing will be held in front of the committee, and the person whom the grievance has been presented. The grievant may bring another employee to help present his/her appeal. The grievance committee is empowered to accept written or documentary evidence and oral testimony. The hearing is not governed by formal rules of evidence, but shall be conducted in a manner such as to promote informed decision-making.
6. The grievance committee will meet, hold a hearing within two weeks, and will give its recommendation within five working days of the hearing. Any recommendation of the grievance committee must be by a majority. The Human Resources Director is empowered to vote only in cases of ties.
7. The recommendation of the grievance committee will be immediately forwarded to the President and General Counsel for consideration and action. The President may accept, reject or otherwise act on the recommendation as he/she believes is appropriate and in the best interest of the University and all those affected. The decision of the President is final and binding.

Final Paycheck

Upon leaving Allen University, faculty members must complete check out procedures, which include submission of final grades, grade books, and grade distribution forms.

In addition, faculty must return of all University property including, but not limited to keys, equipment purchased by the University, settle any cash/expense advances before the final paycheck can be issued. All final checks will be actual checks and not direct deposited. The Office of Human Resources provides and certifies the official checkout form.

Reference Checks

Under no circumstances should any faculty member release any information about any current or former faculty member over the telephone. All inquiries regarding a current or former employee must be referred to the Human Resources office.

Exit Interview

Voluntary termination occurs when employees leave Allen University of their free choice. Involuntary termination (i.e. discharge) occurs when the University initiates the separation. For all faculties, the termination date is the last date an individual was actively at work or the date on which a leave of absence expired. Employees who leave either voluntarily or involuntarily should participate in an exit interview. Information and suggestions obtained in these interviews can be used to improve the work environment for other employees. The exit interview also provides an opportunity for the departing employee to ask questions related to benefits and other issues.

The Human Resource Department will attempt to meet with departing employees before they leave the university, usually during the last two weeks of employment. This meeting will include a review of benefits, as well as an attempt to answer any questions that departing employees may have (see appendix).

By the last day of employment, an employee must return the following items to his/her immediate supervisor:

- Any University property borrowed or assigned
- University keys
- Parking stickers and library card
- Any earned vacation pay or other termination pay shall not extend the effective date of termination beyond the last day worked. Claims filed for unemployment benefits uses both last day worked, as well as the last day compensated by termination pay.

As stated, the Office Human Resources provides and certifies the official final check out form.

Research Policy

It is the policy of Allen University to require all applications for support of research, training, or demonstration, which involves the direct participation of Allen University's students, faculty, or staff to follow a set of systematic procedures and guidelines

established by the Institution. Regardless of the nature or degree of risk anticipated, the applicant must present a letter requesting permission along with a copy of the proposed study to the Vice President of Academic Affairs. The proposal will require review by the Institutional Review Board and prior IRB Training when available. All proposals will require the President's approval.

Details of the proposal must include the following points:

1. The possible risks to the rights and welfare of human subjects, including the rights of privacy, freedom from undue harassment, and confidentiality data, and a description of the provisions made to minimize these risks.
2. Methods used to acquire informed consent, with special emphasis on their appropriateness to the particular situation inherent in the study plan.
3. The relative risks of the projects as compared to the probable benefits to the subjects and to society.

Upon completion of the research application, a "Checklist for Research Involving Human Subjects" and a signed "Informed Consent" must be submitted to the Institutional Review Board. These forms may be obtained from the Office of Development. Systematic review by the Institutional Review Board will determine if the University will continue to endorse the project.

Persons not employed by the university or not enrolled at the university must make similar application.

This procedure may take approximately 45 days to process.

Certification of Handbook Contents

This handbook is true and correct in content and policy and states requirements for faculty employment. All interpretations relative to this handbook are subject to final review and approval of the Board of Trustees and its designee(s).

ALMA MATER

Allen, to thee we lift our hearts and voices.
Allen, to thee life's choicest gifts we pray,
And ever as we leave thy dear walls
And halls so steeped in glory,
Guard well thy children;
Guard and guide us on our way.
Guard well thy children;
Guard and guide us on our way.

When other sons so true and daughters loyal
Shall to their Alma mater shout praises free,
We, too, shall ever stand at thy side
And sing aloud forever;
Allen, Fair Mother,
We pledge our love to thee,
Allen, Fair Mother,
We pledge our love to thee.

Symbolism

Mascot: The Yellow Jacket

Colors: Blue and Gold

Graduate: Allenite

Reviewed by the Faculty Handbook Committee
The Office of Human Resources
The Office of Academic Affairs
The Office of the President

February 4, 2016