



**Georgia** Institute  
of **Technology**

# **Faculty Handbook**

Office of Academic Affairs  
Georgia Institute of Technology  
Atlanta, GA 30332-0330  
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## 1.0. HISTORY AND ORGANIZATION

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### 1.1. THE UNIVERSITY SYSTEM OF GEORGIA

The University of Georgia, chartered in 1785, was Georgia's first institution of higher education and is the oldest state-chartered institution in the country. Over the years other colleges were chartered and supported by the state. The University System of Georgia evolved from an assortment of these state-supported institutions, each of which was governed by a separate board of trustees. Effective 1 January 1932, these institutions became the University System of Georgia under the governance of one body, the Board of Regents. The creation of the Board of Regents ended the practice of each institution's lobbying individually with the state legislature for funds.

The University System of Georgia includes all state-operated universities, senior colleges, and junior colleges in Georgia. The System, now in its seventh decade of operation, offers programs of instruction, research, and public service designed to benefit the entire population of the state. These programs are conducted through the various institutions and institution-related agencies.

The Board of Regents of the University System of Georgia is composed of sixteen members appointed by the Governor and confirmed by the Senate for seven-year staggered terms. One member is appointed from each of the eleven congressional districts and five are appointed from the state-at-large. The Board of Regents exercises broad jurisdiction over all institutions of the University System of Georgia and establishes policies and procedures under which they operate. While the Board engages in both policy-making and administrative functions, each unit of the System has a high degree of academic and administrative autonomy.

The Chancellor of the University System, the chief administrative officer of the System, is appointed by the Board as its chief executive officer and serves at the Board's pleasure. The Chancellor has broad discretionary power for executing the resolutions, policies and rules and regulations adopted by the Board for the operation of the University System.

The composition of the University System has changed several times since the System was established. The twenty-six institutions in existence in 1932 were studied to determine their academic strength. Subsequently, some of these institutions were closed and others were consolidated in order to establish an effective and viable system of public higher education. Even with the improved structure, the University System which was in existence during the years immediately following reorganization had little in common with the University System in existence during the 1987-88 Academic Year.

The System currently includes thirty-four institutions: six universities, thirteen senior institutions, and fifteen two-year colleges. These institutions are both individually distinctive and interrelated. They are geographically dispersed so that approximately ninety-six percent (96%) of the people in Georgia reside within thirty-five miles of at least one university or college.



Source: Office of the Board of Regents Date: 8/96

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## **1.2. ACADEMIC INSTITUTIONS COMPRISING THE UNIVERSITY SYSTEM OF GEORGIA**

### **1.2.1. UNIVERSITIES**

Georgia Institute of Technology, Atlanta  
Georgia Southern University, Statesboro  
Georgia State University, Atlanta  
Medical College of Georgia, Augusta  
University of Georgia, Athens  
Valdosta State University, Valdosta

### **1.2.2. STATE UNIVERSITIES**

Albany State University, Albany  
Armstrong Atlantic State University, Savannah  
Augusta State University, Augusta  
Clayton College and State University, Morrow  
Columbus State University, Columbus  
Fort Valley State University, Fort Valley  
Georgia College and State University, Milledgeville  
Georgia Southwestern State University, Americus  
Kennesaw State University, Marietta  
North Georgia College and State University, Dahlonega  
Savannah State University, Savannah  
Southern Polytechnic State University, Marietta  
State University of West Georgia, Carrollton

### **1.2.3. STATE COLLEGES**

Dalton State College, Dalton  
Macon State College, Macon

### **1.2.4. TWO-YEAR COLLEGES**

Abraham Baldwin Agricultural College (ABAC), Tifton  
Atlanta Metropolitan College, Atlanta  
Bainbridge College, Bainbridge  
Coastal Georgia Community College, Brunswick  
Darton College, Albany  
East Georgia College, Swainsboro

Floyd College, Rome  
Gainesville College, Gainesville  
Georgia Perimeter College, Decatur  
Gordon College, Barnesville  
Middle Georgia College, Cochran  
South Georgia College, Douglas  
Waycross College, Waycross

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Source: Office of the Board of Regents Date: 7/97

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### **1.3. THE BOARD OF REGENTS**

See Board of Regents Home Page at:

<http://www.peachnet.edu/admin/regents/members.html>

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Source: Office of the Board of Regents Date: 8/98

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### **1.4. GEORGIA INSTITUTE OF TECHNOLOGY**

Chartered by the General Assembly in 1885, the Georgia School of Technology opened its classroom doors on 7 October 1888. The first October Tech was open, eighty-four students enrolled, with an overall enrollment of 129 for that year. They pursued degrees in the only major offered, Mechanical Engineering. Even then, Tech courses were difficult to master, and only twenty-eight members of the original October class earned degrees.

On 1 July 1948, the Georgia School of Technology officially became the Georgia Institute of Technology. Tech's first two colleges, the College of Engineering and the General College, were also formed at this time. Georgia Tech now has six colleges--College of Architecture; College of Computing; College of Engineering; DuPree College of Management; Ivan Allen College; and College of Sciences. The Georgia Tech Research Institute is also a part of the Institute, and is the organizational equivalent of a college. Dr. Gerald Wayne Clough became the Institute's tenth president on 1 September 1994. Dr. Clough holds a B.S. (1963) and a M.S. (1965) in Civil Engineering from Georgia Tech and his Ph.D. (1969) from the University of California at Berkeley. Dr. Clough is the first Georgia Tech alumnus to hold the position of President.

The 365 acre campus includes 165 buildings, including 51 devoted to academic instruction and research, 11 primarily used for academic support, 25 used for campus support, nine used by the athletic association, seven used primarily by the GTRI, 35 residential buildings, 17 dedicated to student support, four parking decks and six other facilities. The campus building inventory totals approximately 7.5 million gross square feet with academic buildings accounting for 3.1 million gross square feet.

Georgia Tech is currently developing a major complex of buildings to be situated in a two block area bounded by Ferst Drive, Atlantic Drive, and 8th Street including Plum Street. This complex is derived from the Institute's Strategic Plan that identifies biotechnologies as an area where unique institutional strengths best correspond to external opportunities. The complex is envisioned to provide space for research and educational programs in the inherently interdisciplinary areas of bioengineering, biology, computing, biomaterials, bioprocess engineering, molecular science, and environmental science and technology.

Phase I: The Institute for Bioengineering and Bioscience will integrate engineering, information technology, and science in 153,000 gross square feet building at a total project cost of \$31.5 million. Construction is underway and the projected occupancy date is July 1999.

Phase II: The Environmental Science and Technology Building will focus on environmental issues, broadly defined, and encourage productive interactions with industry, government and academic institutions. The building will be a 261,000 gross square feet structure at an estimated cost of \$58 million. Design is underway with proposed occupancy in early 2002.

Phase III: The Molecular Science and Engineering Building will house the School of Chemistry and Biochemistry as well as faculty from Materials Science and Engineering and Chemical Engineering. The building is proposed to be 180,000 gross square feet with a total estimated cost of \$53 million. The proposed occupancy date is 2003 - 2004.

In addition, construction is underway for Phase II of the Manufacturing Related Disciplines Complex (MRDC). This building will house elements of Mechanical Engineering as well as Materials Science and Engineering. The project is a 151,600 gross square feet building with a total project cost of \$27 million. The projected occupancy date is March 2000.

The general growth and diversity of Tech is reflected in its student population. Total enrollment for Fall quarter 1998 was 13,959; 10,304 undergraduate students, and 3,655 graduate students. While the first woman student did not appear on the main campus as a day student until 1952, there are now 2,947 women undergraduate and 903 women graduate students. Georgia Tech also enrolls over 4,243 minority and 1,500 international students.

Tech is proud of the scholastic abilities of its students. Entering students have an average Scholastic Aptitude Test (SAT) score approximately 279 points higher than the national average.

Students who wish to combine industrial work experience with their classroom studies can enroll in Tech's "Cooperative Plan." This program has been in continuous operation at Tech since 1912 and with over 600 participating employers throughout the U.S. and some international locations. Approximately one-third of Georgia Tech's students participate in the Co-op Program which is the largest of its kind. This program is also available to students at the graduate level.

Students and faculty have access to a cataloged collection of over 3.6 million items in the Library and Information Center. Technical reports number over 2.6 million. The Library is a regional depository for United States patents and holds over 5.5 million of these. Government documents include over 1.2 million publications and over 185,000 maps. Approximately seventy-five percent (75%) of the total collection is in science or technology. Literature searches and other reference services are provided from more than 500 bibliographic and factual databases. Membership in a fifteen-library consortium greatly extends available information sources.

Research is an integral part of the education process at Georgia Tech and has grown to over \$225 million annually, including research in the colleges and at the Georgia Tech Research Institute. Research activities are diversified and are centered on areas where the nation has a vital interest—defense, manufacturing, health and the environment, and electronics. With its consistently high academic standards, expanding campus facilities, and vast research programs, Tech is ready to meet the challenges of tomorrow.

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Source: Nancy Tinker, Director, Capital Planning & Space Management, Georgia Tech

Office of Institutional Research & Planning, Georgia Tech Jay Dockweiler, Special Programs, Undergraduate Admissions, Georgia Tech Katherine Norris, Project Coordinator, Library & Information Center, Georgia Tech National Science Foundation - Date: 5/99

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#### **1.4.1. THE VISION STATEMENT**

Georgia Tech will be a leader among those few technological universities whose alumni, faculty, students, and staff define, expand, and communicate the frontiers of knowledge and innovation. Georgia Tech seeks to create an enriched, more prosperous, and sustainable society for the citizens of Georgia, the nation, and the world.

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Source: Office of Institutional Research and Planning Date: 7/97

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#### **1.4.2. INSTITUTIONAL AND PROFESSIONAL ACCREDITATION**

##### **1.4.2.1. Institutional Accreditation**

Georgia Tech is accredited by the Southern Association of Colleges and Schools. A self-study was conducted, and reaffirmation was awarded in 1994.

##### **1.4.2.2. Professional Accreditation**

###### **1.4.2.2.(a) College of Architecture**

In the College of Architecture, the program leading to the Bachelor of Science in Industrial Design has been recognized by the Industrial Designers Society of America. The National Architectural Accrediting Board has accredited the curriculum leading to the Master of Architecture. The Master of City Planning degree program has been accredited by the Planning Accreditation Board.

###### **1.4.2.2.(b) College of Computing**

The program leading to the Bachelor of Science in Computer Science is accredited by the Computing Sciences Accreditation Board.

#### **1.4.2.2.(c) College of Engineering**

The Accreditation Board for Engineering and Technology has accredited the four-year engineering curricula leading to bachelor's degrees in the following fields: aerospace engineering; chemical engineering; civil engineering; computer engineering; electrical engineering; industrial engineering; materials engineering; mechanical engineering; nuclear engineering; and textile engineering; and a graduate program leading to a master's degree in the field of environmental engineering.

#### **1.4.2.2.(d) College of Sciences**

The American Chemical Society has certified the curriculum leading to a Bachelor of Science in chemistry. The Human Factors and Ergonomics Society has accredited the Engineering Psychology Graduate Program.

#### **1.4.2.2.(e) DuPree College of Management**

In the DuPree College of Management, all of the degree programs subject to the review of the American Assembly of Collegiate Schools of Business have been accredited by that organization. These programs include Bachelor of Science in Management, Bachelor of Science in Management Science, Master of Science in Management, Mast of Science in Management Technology, and Doctor of Philosophy in Management.

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Source: Office of the President - Date: 5/99

Institutional Research and Planning Date: 8/98

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### **1.4.3. CHAIRS AND PROFESSORSHIPS**

#### **1.4.3.1. Endowed Chairs**

Gilbert F. Amelio Chair of Physics

Anderson-Interface Chair of Natural Systems

Margaret and Henry Bourne Chair in Poetry

Julius Brown Chair in Chemistry and Biochemistry

Julius Brown Chair in Electrical and Computer Engineering

Morris M. Bryan, Jr. Chair in Mechanical Engineering for Advanced Manufacturing Systems

John H. Burson Chair in Biomedicine

Fuller E. Callaway Chair in Computational Materials Science

Fuller E. Callaway Chair in Management

Fuller E. Callaway Chair in Nuclear Engineering and Health Physics

Steve W. Chaddick School Chair in Electrical and Computer Engineering

A. Russell Chandler II Chair for Distinguished Faculty in Industrial and Systems Engineering  
Russell and Sammie Chandler Chair in Industrial and Systems Engineering  
Coca-Cola Chair in Material Handling and Distribution in Industrial and Systems Engineering  
Wallace H. Coulter Chair in Biomedical Engineering  
Wallace H. Coulter School Chair in Biomedical Engineering  
Georgia Freight Bureau Chair in Transportation and Logistics  
Georgia Power / Georgia Research Alliance Eminent Scholar in Air Quality  
Georgia Research Alliance/ Lucent Technologies Eminent Scholar in Ultrafast Optical Physics  
Georgia Research Alliance Eminent Scholar in Molecular Design  
Georgia Research Alliance Eminent Scholar in Sensors and Instrumentation  
Eugene C. Gwaltney, Jr. Chair in Manufacturing Systems  
Eugene C. Gwaltney, Jr. School Chair in Mechanical Engineering  
Hercules-Gossage Chair in Chemical Engineering  
Julian T. Hightower in Engineering  
Julian T. Hightower in Engineering  
Lawrence P. Huang Chair in Engineering Entrepreneurship  
Andrew T. Hunt School Chair in Materials Science and Engineering  
John P. Hunter, Jr. in Industrial and Systems Engineering  
HUSCO/ Ramirez Chair in Fluid Power Systems  
John P. Imlay Jr. Chair in Computing  
John P. Imlay Jr. Dean's Chair in Computing  
INVESCO Chair in International Finance  
Gary T. and Elizabeth R. Jones Chair in Management  
William W. LaRoche, Jr. Distinguished Chair in Chemical Engineering  
David W. and Victoria C. Larsen Chair in Computing  
David S. and Andrew F. Lewis Chair in Aerospace Engineering  
David S. Lewis Chair in Aerospace Engineering  
J. Erskine Love, Jr. Institute Chair in Engineering  
Manhattan Associates Chair in Supply Chain Management  
John O. McCarty/ Audichron Chair in Electrical and Computer Engineering  
H. Bruce McEver Visiting Chair in Writing  
John M. McKenney and Warren D. Shiver Chair in Building Mechanical Systems

Tedd Munchak Chair in Entrepreneurship  
Rae and Frank H. Neely Chair in Nuclear Engineering and Health Physics  
William R. T. Oakes School Chair in Aerospace Engineering  
ON Semiconductor Chair in Electrical and Computer Engineering  
Gregory J. Owens Chair in Supply Chain Management  
Carter N. Paden Distinguished Chair  
Gordon G. Palmer Chair in Industrial and Systems Engineering  
Parker H. Petit Chair for Engineering in Medicine  
Joseph M. Pettit Chair in Electrical and Computer Engineering  
John E. Pippin Chair in Electromagnetics  
Ralph N. Read Chair in Aerospace Engineering  
Glen P. Robinson Chair in Electro-Optics  
Glen P. Robinson Chair in Non-Linear Science  
Cecil J. "Pete" Silas Chair in Chemical Engineering  
Hal and John Smith Chair of Small Business and Entrepreneurship  
Smithgall Institute Chair  
Smithgall Institute Chair  
W. Pierre and L. Terrell Sovey Chair in Industrial and Systems Engineering  
H. Milton and Carolyn J. Stewart School Chair in Industrial and Systems Engineering  
Frederick G. Storey Chair in Computing  
Harry and Linda Teasley Chair in Environmental Biology  
William B. Turner Chair in Servant Leadership  
Elizabeth Smithgall Watts Chair in Behavioral and Animal Conservation  
James and Mary Wesley Chair in New Media Studies  
Harry West Chair in Quality Growth and Regional Development  
Thomas R. Williams Chair in Business and Management  
George W. Woodruff Chair in Thermal Systems  
George W. Woodruff Chair in Mechanical Systems  
Vasser Woolley Chair in Chemistry and Biochemistry

**1.4.3.2. Georgia Research Alliance Eminent Scholars**

Arbutus Distinguished Chair in Digital System Design

Kenneth J. Byers Eminent Scholar in Microelectronics

Steve W. Chaddick Chair in Electro-Optics

Rhesa Farmer Chair in Embedded Systems

Stephen Fleming Chair in Telecommunications

Lawrence L. Gellerstedt, Jr. Chair in Bioengineering

Price Gilbert, Jr. Chair in Tissue Engineering

Roberto C. Goizueta Chair in Chemical Engineering

Georgia Research Alliance Eminent Scholar in Environmental Technologies

Georgia Research Alliance Eminent Scholar in Analytical Genomics

Georgia Research Alliance Eminent Scholar in Biological Systems

Motorola Chair in Electrical and Computer Engineering

Joseph M. Pettit Chair in Electronics

John E. Pippin Chair & Georgia Research Alliance Eminent Scholar in Wireless Systems

John H. Weitnaur, Jr. Technology Transfer Chair

#### **1.4.3.3. Professorships**

Blanchard Junior Faculty Professorship

Blanchard Junior Faculty Professorship

Boeing Professorship of Advanced Aerospace Systems Analysis

Kenneth J. Byers Professorship in Electrical and Computer Engineering

Kenneth J. Byers Professorship in Electrical and Computer Engineering

Kenneth J. Byers Professorship in Electrical and Computer Engineering

Coca-Cola Professorship in Industrial and Systems Engineering

Coca-Cola Professorship in Industrial and Systems Engineering

Duke Power Professorship in Engineering

Georgia Power Professorship in Electrical and Computer Engineering

Georgia Power Professorship in Electrical and Computer Engineering

Georgia Power Distinguished Professorship in Environmental Engineering

Georgia Power Professorship in Mechanical Engineering

Georgia Power Professorship in Nuclear Engineering

B. Mifflin Hood Professorship in Ceramic Engineering

Melvin Kranzberg Professorship in History of Science and Technology



Lockheed Martin Professorship in Avionics Integration  
Motorola Professorship in Electrical and Computer Engineering  
ON Semiconductor Professorship in Electrical and Computer Engineering  
Demetrius T. Paris Junior Professorship  
Joseph M. Pettit Professorship in Electrical and Computer Engineering  
Joseph M. Pettit Professorship in Electrical and Computer Engineering  
Joseph M. Pettit Professorship in Electrical and Computer Engineering  
Joseph M. Pettit Professorship in Electrical and Computer Engineering  
Joseph M. Pettit Professorship in Electrical and Computer Engineering  
Schlumberger Professorship in Microelectronics  
United Parcel Services Distinguished Professorship in Logistics  
Fred and Teresa Estrada Young Professorship in Engineering

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Source: Office of the Vice Provost for Undergraduate Studies and Academic Affairs - Date:  
5/99

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#### **1.4.4. HUMAN RELATIONS**

##### **1.4.4.1. Human Relations Policy**

Georgia Tech is a diverse community composed of individuals and groups with a variety of religious, racial, national, cultural, sexual, and educational identities. The continuing need to deal constructively with this diversity is one of the great challenges facing us over the next two decades.

Georgia Tech is a diverse community composed of individuals and groups with a variety of religious, racial, national, cultural, sexual, and educational identities. The continuing need to deal constructively with this diversity is one of the great challenges facing us over the next two decades.

The challenge is both professional and personal. Professionally, we increase the opportunities in our lives if we are able to constructively manage and guide such diversity with tolerance and appreciation. The challenge is also personal because each of us has a legacy of religious, racial, national, cultural, sexual, and educational experiences, beliefs, and prejudices, which influence our lives.

Each member of our community must be committed to the creation of a harmonious climate. One cannot be neutral to the challenge diversity presents. Those who are committed to the creation of a harmonious climate for diversity strengthen Georgia Tech as well as themselves.

Individuals who choose not to commit to the challenge via acts of intolerance jeopardize their continued affiliation with the Institute. Those acts may be defined as attempts to injure, harm, malign, or harass a person because of race, religious belief, color, sexual orientation, national origin, disability, age, or gender.

To lead in a global society, Georgia Tech must itself be a pluralistic Institution.

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Source: Office of the President - Date: 8/96

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#### **1.4.5. ORGANIZATIONAL CHART**

Please use the following link to view the Georgia Tech organizational charts:

[http://www.irp.gatech.edu/factbooks/2001\\_Fact\\_Book/INTRO.pdf](http://www.irp.gatech.edu/factbooks/2001_Fact_Book/INTRO.pdf)

The following organizational charts may be seen at the link above:

- [Presidential Organization Chart](#)
  - [Provost Organization Chart](#)
  - [Senior Vice President Organization Chart](#)
  - [Georgia Tech Research Institute Organization Chart](#)
  - [Student Affairs Organization Chart](#)
  - [Development Organization Chart](#)
  - [Georgia Tech Research Corporation](#)
  - [Georgia Tech Athletic Association](#)
  - [Georgia Tech Alumni Association](#)
  - [Interdisciplinary Centers of Georgia Tech](#)
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Source: Office of Institutional Research and Planning Date: 6/01

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## 2.0. THE STATUTES OF THE GEORGIA INSTITUTE OF TECHNOLOGY AND FACULTY GOVERNANCE

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### Revision History of the Statutes

*Dates represent approval by the General Faculty of the Georgia Institute of Technology or approval by the Board of Regents of the University System of Georgia, as noted.*

- 10-Jun-1981: Statutes (with amendments) approved by the Board of Regents of the University System of Georgia.
- 27-Apr-1997: Split the Statutes into two separate documents; the Statutes and the Bylaws.
- 02-Feb-1999: Eliminate the Public Relations committee. Remove sections 2.4.6.1.(f) and 2.8.1.7.(c)(1)-(3).
- 02-Feb-1999: Add the Student Computer Ownership committee. Add sections 2.4.6.2.(h) and 2.8.1.7.(o)(1)-(6).
- 02-Feb-1999: Revise section 2.4.1.1.(a)(3) to add the category of Academic Professional to the list for possible General Faculty membership.
- 02-Feb-1999: Create a new General Faculty membership category called “Professional Classified Staff.” Add section 2.4.1.1.(c) and 2.4.1.1.(c)(1). Rename the old section 2.4.1.1.(c) to 2.4.1.1.(d) and the old section 2.4.1.1.(d) to 2.4.1.1.(e).
- 27-Apr-1999: Modify references in the Statutes and Bylaws to reflect the new semester system.
- 10-May-2000: BOR approval of Statutes and Bylaws with changes up to this point.
- 18-Apr-2000: Allow for an extension of the probationary period for tenure as a consequence of any approved Georgia Tech policy by adding the last sentence to Section 2.4.7.2.(c)
- 18-Apr-2000: Change all references to explicit titles of some administrators to generic form. *Do not change* the titles for President, Provost, Registrar, Director of GTRI, College Deans, School Chairs, and Department Heads.
- 18-Apr-2000: Add new paragraph in Section 2.4 to allow an Administrator appointed to a position by these Statutes and Bylaws to appoint a qualified substitute Administrator to serve in their place.
- 16-Jan-2001: Executive Board changes to Section 2.9. “Executive Board’s Guidelines To General Faculty Membership.” Required no approval from the General Faculty Assembly or the Academic Senate.
- 09-Oct-2001: Add Section 2.4.1.1.(a)(4) stating that Faculty whose title includes the words “Temporary” or “Visiting” shall not be considered as members of the “Corps of Instruction” for the purposes of faculty governance.

- 09-Oct-2001: Add Section 2.4.2.3.(c)(3) to give representation to the General Faculty Assembly to Faculty who are in a College but who are not members of a Department of Instruction. Modify Section 2.4.2.3.(a) to reflect this new section. Renumber following sections.
- 09-Oct-2001: Modify Section 2.4.5.1.(a) to remove the Vice Provost from membership on the Executive Board.
- 09-Oct-2001: Add Section 2.4.5.1.(b)(4) to clarify that a person elected to the Executive Board vacates their position on the General Faculty Assembly (and, if a member, also of the Academic Senate) as a representative of their unit.
- 09-Oct-2001: Revise Section 2.8.1.7.(a)(6) to modify the procedure for replacing a member of a standing committee who resigns their position.
- 23-Apr-2002: Changes concerning the Undergraduate Curriculum Committee outlined in Sections 2.8.1.7.(j)(1) and 2.4.6.2.(a)(6).
- 23-Apr-2002: Changes concerning the Graduate Curriculum Committee outlined in Sections 2.8.1.7.(k)(1) and 2.4.6.2.(b)(8).

## **Forward**

Note: This Foreword is not a part of these Statutes and is subject to change as directed by the President. This Foreword reflects the institutional structure as of 6/1/95.

A complex institution such as the Georgia Institute of Technology must of necessity have an administrative structure that permits it to accomplish its existing goals; and at the same time, it must have sufficient flexibility to respond to developing needs by alteration of structure and emphasis. In the policies of the Board of Regents, the President is charged with the responsibilities for the operation and management of the Institute. Thus, the President has the responsibility and authority to organize or reorganize the administrative functions into a pattern which the President believes to be most effective. As of 6/1/1995, the lines of authority from the Office of the President (which includes the Provost) extend to all units of the Institute:

Vice-President for Business and Finance

Vice-President for Development

Vice-President for Student Affairs/Dean of Students

Vice-President for Facilities

Vice-President for Computing and Information Technology

Associate Vice-President for Academic Affairs

Associate Vice-President for Academic Affairs and Director, Education Extension Services

Associate Vice-President for Graduate Studies and Research, and Dean, Graduate Studies

Associate Vice-President for Research

Dean of the College of Engineering

Dean of the College of Sciences and Liberal Studies

Dean of the College of Management  
Dean of the College of Architecture  
Registrar  
Director, Minority Educational Development  
Director of Libraries  
Director, Human Relations  
Director, Cooperative Division

The Deans of the Colleges have authority over Chairs of the Schools and Heads of the Departments within their Colleges; and the Chairs and Heads over members of all academic ranks within the Schools and Departments. The Director of the Cooperative Division, the Registrar, the Director of Continuing Education, and the Director of the Libraries have authority over their own administrative staffs.

The Director of the Georgia Tech Research Institute, Director of Contract Administration, Director of the Advanced Technology Development Center, Director of Energy Extension, Director of the Office of Interdisciplinary Programs, Director of Research Communications, who direct their own administrative, research, or teaching staff, are under the authority of the Office of the President.

The Vice-President for Business and Finance is responsible for the executive discharge of the Institute's business and fiscal affairs and for the management and supervision of several organizational units including Accounting Services, Information Services, Purchasing, Property Control, Grants and Contracts, Budgets, Auxiliary Services, Personnel, and Campus Safety. The lines of authority from the Vice-President for Business and Finance extend to:

Associate Vice-President for Finance

The Vice-President for Development is responsible for managing and directing the public relations and private fund raising activities for the Institute and communications. The lines of authority from the Vice-President for Development extend to:

Associate Vice-President for Development

Associate Vice-President for Communications

Identical titles appear for functions that are not identical: for example, the title of Director may apply to an administrative department, an academic division, or a specific functional area. In current terminology, Schools are administered by Chairs and offer degree programs; Departments are administered by Heads and provide programs that do not per se lead to degrees. For convenience of wording in the Statutes, Department of Instruction refers to both Schools and Departments (as well as any other unit with instructional responsibility); and the administrator of each Department of Instruction is referred to as Chair.

Under the circumstances described above, a set of Statutes cannot successfully defy logic and time by fixing precise definitions to titles or functions of current administrators or current lines of authority among administrators. Instead, Statutes that have any degree of permanence must define principles to guide persons in the Institute in the exercise of their various rights and

responsibilities. In this context, these Statutes indicate in broad general outline key principles relevant to the functions of the Board of Regents and the President and administration and elaborate the principles relevant to the functions of the faculty and the students.

## **2.1. PREAMBLE**

As empowered by the Board of Regents of the University System of Georgia and limited by [The Policy Manual of the Board of Regents \(Section 302.06\)](#), the Faculty of the Georgia Institute of Technology sets forth the following regulations for its governance and designates them to be The Statutes of the Georgia Institute of Technology. The Statutes seek to encompass basic principles, to delineate the rights and responsibilities of each component of the Institute, and to provide for communication among the components so that, through cooperative action, the purposes of the Institute can be best served. In case of any divergence from or conflict with the official policies of the Board of Regents of the University System of Georgia to be found in these Statutes, the policies shall prevail.

## **2.2. ARTICLE I, THE INSTITUTE**

The Georgia Institute of Technology, one of several institutions making up the University System of Georgia, is distinctive because of its scientific and technological orientation. Within this orientation, the Institute's function is to maintain appropriate up-to-date programs of the highest quality in undergraduate and graduate education and in research. This function involves the discovery, correlation, presentation, and transmittal of knowledge, and it encompasses the translation of this knowledge into useful and appropriate services.

As provided in the policies of the Board of Regents ([Policy Manual, Introduction](#)), the Georgia Institute of Technology is subject to the jurisdiction of the Board of Regents and the Chancellor of the University System of Georgia. The Board of Regents, with the Chancellor as its executive officer, is the governing board, the final institutional authority. The Administration of the Institute is composed of the President and other persons duly appointed by the President or the President's designees and by the Regents to serve primarily in executive and managerial capacities. The Faculty of the Institute is composed of the Corps of Instruction and the Administrative Officers as defined in Section 2.4.1 of these Statutes. Students in the Institute are those persons of undergraduate, graduate, and postgraduate status who, through official matriculation, indicate their intent to be recipients of the educational process and research training available in the Institute. The Administration, the Faculty, and the Students are the components of the Institute to which these Statutes relate.

The Institute shall confer the undergraduate and the graduate degrees\* established by official action of the Faculty and approved by the President and the Board of Regents upon candidates who have satisfied the prescribed regulations and conditions. The Institute may award suitable certificates to enrollees who successfully complete such specialized courses as may be offered to meet specific needs.

\*A current official listing appears annually in the General Catalog.

## 2.3. ARTICLE II, THE ADMINISTRATION

The President, the chief executive officer of the Institute, is elected annually by the Board of Regents. The powers of the President are those ordinarily implied by the office and are stipulated in [The Policy Manual of the Board of Regents \(Section 204\)](#). By the nature of the office, the President is the chief spokesperson of the Institute and has the ultimate responsibility for defining goals, for taking administrative action, and for creating public understanding. The President utilizes the judgments of the Faculty and also seeks outside evaluations by organizations and scholars of acknowledged competence. The President ensures that Faculty and student views, including dissenting views, are presented through the Chancellor to the Board of Regents in those areas and on those issues where responsibilities are shared. The President confers all degrees, presides at Commencement ceremonies, and authorizes the issuance of all diplomas and certificates.

As provided in the policies of the Board of Regents ([Policy Manual, Section 204](#)), the President is the Chair of whatever legislative bodies the Faculty establishes and is ex officio a member of all committees, councils, or boards. Recommendations for all appointments, reappointments, promotions, and dismissals of members of the Administration and the Corps of Instruction are made by the President or the President's designees annually to the Board of Regents through the Chancellor. The President identifies and defines the responsibilities of other members of the Administration who, serving at the President's discretion, guide and direct other functions necessary to this complex academic institution. Through memoranda and organizational charts, the President advises the Institute of organizational changes and shifts in the responsibilities of members of the Administration. Hereafter in these Statutes, members of the Administration will be referred to as Administrators.

## 2.4. ARTICLE III, THE FACULTY

Consistent with [The Policy Manual of the Board of Regents \(Sections 302.02 and 302.03\)](#), the Faculty of the Institute is the Corps of Instruction and Administrative Officers, as stipulated below. The Faculty, so defined, is granted the right and responsibility of its own governance; the governance of the students, student activities, and student affairs; the creation of such committees as may be required; the prescribing of regulations regarding admission, dismissal, discipline, scholarship, classes, courses of study, and requirements for graduation; and the creation of such other regulations as may be necessary or proper for the maintenance of high educational standards.

To fulfill these responsibilities, these Statutes establish the General Faculty, the General Faculty Assembly, the Academic Faculty, the Academic Senate, and the Executive Board.

Any Administrator appointed by these Statutes and/or Bylaws to serve on the General Faculty Assembly, the Academic Senate, the Executive Board, or any Institute Standing Committee may appoint another appropriate and qualified General or Academic Faculty member to serve on that body and to carry out any designated duties related to that body in said Administrator's place. Such an appointment must be approved in advance by the Executive Board.

### **2.4.1. THE GENERAL FACULTY**

The presiding officer of the General Faculty shall be the President. All members of the General Faculty shall have the right to vote.

#### **2.4.1.1. Members**

Membership in the General Faculty shall be determined solely on the basis of the position held within the Institute. The membership of the General Faculty shall be as follows:

##### **2.4.1.1.(a) Corps of Instruction**

2.4.1.1.(a)(1) Full-time members whose titles, in full or part, are contained in the following list: Regents' Professor, Professor, Associate Professor, Assistant Professor, Instructor, Lecturer.

2.4.1.1.(a)(2) Full-time members whose titles, in full or in part, are contained in the following list: Principal Research Engineer, Senior Research Engineer, Research Engineer II, Research Engineer I ("Engineer" may also read "Scientist," "Associate," or "Technologist").

2.4.1.1.(a)(3) Other full-time extension personnel, duly certified librarians, Academic Professionals, and other teaching personnel with such other titles as may be approved by the Board of Regents.

2.4.1.1.(a)(4) Personnel with the designation of "Temporary" or "Visiting" are not to be members of the Corps of Instruction.

##### **2.4.1.1.(b) Administrative Officers**

2.4.1.1.(b)(1) The President, the Provost, administrative and academic deans, the Registrar, the Administrator in charge of Libraries, and those other persons in administrative positions who report directly to the President, and those persons in administrative positions who report to the Provost.

2.4.1.1.(b)(2) Persons in administrative positions who report directly to those members in 2.4.1.1.(b)(1) above, as designated by the Executive Board and approved by the President. See "Executive Board's Guidelines to General Faculty Membership," Section 2.9.

##### **2.4.1.1.(c) Professional Classified Staff**

2.4.1.1.(c)(1) Persons in professional positions that require at least a master's degree or its equivalent in education and experience in a relevant field and are approved by the President. See "Executive Board's Guidelines to General Faculty Membership," Section 2.9.

##### **2.4.1.1.(d) Others**

Other persons in administrative, academic, or research positions specifically designated as members of the General Faculty by the Executive Board and approved by the President. See "Executive Board's Guidelines to General Faculty Membership," Section 2.9.



#### **2.4.1.1.(e) Prior Status**

Nothing in these Statutes shall be construed as rescinding the status of those persons who are members of the General Faculty by virtue of action prior to adoption of these Statutes.

#### **2.4.1.2. Nonvoting Delegates**

The students shall be represented without vote by the President of the Undergraduate Student Body and the President of the Graduate Student Body.

#### **2.4.1.3. Powers**

2.4.1.3.(a) It shall establish the Standing Committees herein defined and such temporary committees as may be needed to conduct its business in an orderly and efficient manner.

2.4.1.3.(b) It shall define and establish Institute-wide policies on matters of broad and general interest relevant to the Institute not specifically delegated to the Academic Faculty.

2.4.1.3.(c) It shall accept or reject proposed changes or amendments to these Statutes prior to transmittal to the Board of Regents via the President through the Chancellor. It shall also accept or reject proposed changes or amendments to these Bylaws.

2.4.1.3.(d) It shall make recommendations to be considered by the Academic Faculty.

2.4.1.3.(e) It shall have the power to rescind or modify actions of the General Faculty Assembly.

#### **2.4.1.4. Limitations of Powers**

The President shall have the power of veto over any action of the General Faculty or the General Faculty Assembly. The veto, with reasons therefore, shall be communicated in writing to the Secretary within sixty days from the date of the action of the General Faculty or the General Faculty Assembly. By a two-thirds (2/3) vote of the members present at a scheduled or properly called meeting, the General Faculty may appeal to the Board of Regents through the Chancellor any action so vetoed. Any such appeal shall be sent via the President who shall forward it to the Board of Regents through the Chancellor.

### **2.4.2. THE GENERAL FACULTY ASSEMBLY**

The presiding officer of the General Faculty Assembly shall be the President. All members of the General Faculty Assembly [except those named in Section 2.4.2.2.(b) below] shall have the right to vote. The General Faculty Assembly shall be empowered to act for the General Faculty in all matters except the amending of these Statutes and the appeal of a Presidential veto.

#### **2.4.2.1. Composition**

2.4.2.1.(a) Elected representatives [Section 2.4.2.3, below].

2.4.2.1.(b) Chairs of the General Faculty Standing Committees.

2.4.2.1.(c) Ex officio members [Section 2.4.2.2, below].

2.4.2.1.(d) Two nonvoting student delegates.

2.4.2.1.(e) Elected members of the Executive Board.

#### **2.4.2.2. Ex officio Members**

2.4.2.2.(a) The President and the Provost.

2.4.2.2.(b) Without the right to vote: the Administrator in charge of student affairs, the Administrator in charge of financial affairs, the Administrator in charge of development, the Registrar, and the Director of the Georgia Tech Research Institute.

#### **2.4.2.3. Distribution of Elected Representatives**

2.4.2.3.(a) The elected representatives shall be distributed among the Departments of Instruction, the administrative sub-units of Colleges with Departments of Instruction, the colleges without such departments, the Laboratories and a unit of Administration and Services of the Georgia Tech Research Institute, and a composite unit of Services and Central Administration in the ratio of one representative for each twenty members of the General Faculty (rounded).

2.4.2.3.(b) The representatives from Services and Central Administration shall be elected proportionally from the Libraries, the Office of the Dean of Students, and the aggregate of others.

2.4.2.3.(c) In colleges with Departments of Instruction and in the Georgia Tech Research Institute, at least one representative shall be elected from each sub-unit.

2.4.2.3.(c)(1) In colleges a sub-unit is defined as a Department of Instruction with ten or more members of the General Faculty or an aggregate of such with ten or more members.

2.4.2.3.(c)(2) Such aggregate sub-units, when required to be formed, shall be determined by the Executive Board.

2.4.2.3.(c)(3) In colleges with Departments of Instruction, there will also be an administrative sub-unit composed of the Office of the Dean, Centers reporting to the Dean, and any other unit of the College that is not a Department of Instruction.

2.4.2.3.(c)(4) In the Georgia Tech Research Institute a sub-unit is defined as a Laboratory or a unit of Administration and Services or other sub-unit which the Director of the Georgia Tech Research Institute may recommend to the Executive Board for approval as a constituency unit.

2.4.2.3.(d) No college, the Georgia Tech Research Institute, or the composite unit of Services and Central Administration shall be represented by more than one-third (1/3) of the voting members. If a unit qualifies for more representatives than one-third (1/3) of the voting members of the General Faculty Assembly, an adjustment supervised by the Executive Board shall be made by reducing the representation of the subunits with the largest number of representatives.

#### **2.4.2.4. Eligibility of Voters and Candidates**

All members of the General Faculty shall be eligible to vote, but only in the election of representatives from their respective constituent unit. All members of the General Faculty shall be eligible to be candidates for election to the General Faculty Assembly except:

2.4.2.4.(a) Ex officio members of the Assembly.

2.4.2.4.(b) General Faculty members who are presently serving as members of the General Faculty Assembly.

2.4.2.4.(c) Previous Executive Board members whose Board terms ended earlier in the Spring semester.

#### **2.4.2.5. Term of Office**

A representative shall be elected to a term of three years. Representatives may not be elected to serve consecutive terms. The election of representatives shall be held every year with approximately one third of these positions being filled each year. At this election representatives shall also be chosen by the appropriate units to serve the remainder of the term of those who have been elected to membership on the Executive Board. If representatives resign, take leave of absence, or undergo a change of assignment so that they no longer qualify as members of the unit which they were elected to represent, the Executive Board shall arrange an election for replacements to serve the remainder of the term.

### **2.4.3. THE ACADEMIC FACULTY**

The presiding officer of the Academic Faculty shall be the President. All members of the Academic Faculty shall have the right to vote.

#### **2.4.3.1. Members**

The membership of the Academic Faculty shall be as follows:

##### **2.4.3.1.(a) Corps of Instruction**

2.4.3.1.(a)(1) Chairs of all Departments of Instruction.

2.4.3.1.(a)(2) Members of the General Faculty with the ranks of Regents' Professor, Professor, Associate Professor, and Assistant Professor.

##### **2.4.3.1.(b) General Faculty**

2.4.3.1.(b)(1) Members of the General Faculty specified in Section 2.4.1.1.(b)(1).

2.4.3.1.(b)(2) All General Faculty members of the Executive Board.

2.4.3.1.(b)(3) Librarians IV, III, and II.

#### **2.4.3.2. Nonvoting Delegates**

The students shall be represented without vote by the President of the Undergraduate Student Body and the President of the Graduate Student Body.

#### **2.4.3.3. Powers**

2.4.3.3.(a) It shall formulate and develop comprehensive educational policies and regulations.

2.4.3.3.(b) It shall define and establish Institute-wide policies on academic matters, including admission policy, grading standards, and the requirements to be met by the candidates for the various degrees.

2.4.3.3.(c) It shall establish the Standing Committees herein defined and such temporary committees as may be needed to conduct its business in an orderly and efficient manner.

2.4.3.3.(d) It shall consider all candidates for degrees and recommend to the President that the appropriate degree be conferred on each approved candidate.

2.4.3.3.(e) It shall recommend through the President to the Board of Regents the establishment, modification, or discontinuance of degrees, of departments of instruction and of colleges; and the establishment, modification, or discontinuance of centers which function to coordinate interdisciplinary educational and research programs.

2.4.3.3.(f) It shall consider proposed general regulations governing student conduct, all phases of student life and activities, and all forms of student organizations insofar as these matters are properly subject to the jurisdiction of the Institute. All such proposals must be approved by the Academic Faculty and the President prior to implementation.

2.4.3.3.(g) It shall make recommendations to be considered by the General Faculty.

2.4.3.3.(h) It is empowered to rescind or modify actions of the Academic Senate.

#### **2.4.3.4. Limitations of Powers**

The President shall have the power of veto over any action of the Academic Faculty or the Academic Senate. The veto, with reasons therefore, shall be communicated in writing to the Secretary within sixty days from the date of the action of the Academic Faculty or the Academic Senate. By a two-thirds (2/3) vote of the members present at a scheduled or properly called meeting, the Academic Faculty may appeal to the Board of Regents through the Chancellor any action so vetoed. Any such appeal shall be sent via the President who shall forward it to the Board of Regents through the Chancellor.

#### **2.4.4. THE ACADEMIC SENATE**

The presiding officer of the Academic Senate shall be the President. All members of the Academic Senate [except those named in Section 2.4.4.1.(e) and 2.4.4.2.(b), below] shall have the right to vote. The Academic Senate shall be empowered to act for the Academic Faculty in all matters except the appeal of a Presidential veto.

##### **2.4.4.1. Composition**

2.4.4.1.(a) Elected members of the General Faculty Assembly who are:

2.4.4.1.(a)(1) Members of the Academic Faculty, and

2.4.4.1.(a)(2) Representatives of a Department of Instruction, a College without such departments, or the Libraries [subject to the restriction of Section 2.4.4.3, below].

2.4.4.1.(b) Chairs of Academic Faculty Standing Committees.

2.4.4.1.(c) Ex officio members [Section 2.4.4.2, below]

2.4.4.1.(d) Elected members of the Executive Board.

2.4.4.1.(e) Two nonvoting student delegates.

#### **2.4.4.2. Ex officio Members**

2.4.4.2.(a) The President and the Provost.

2.4.4.2.(b) Without the right to vote: the Administrator in charge of student affairs, the Administrator in charge of graduate studies, the Deans of the Colleges, and the Registrar.

#### **2.4.4.3. Distribution of Elected Representatives**

2.4.4.3.(a) The elected representatives shall be distributed among the Departments of Instruction, the Colleges without such departments, and the Libraries in the ratio of one representative for each twenty members of the Academic Faculty (rounded). Aggregate units of Departments of Instruction and the Libraries with fewer than ten members of the Academic faculty shall be formed as required by the Executive Board.

2.4.4.3.(b) When the number of elected representatives of the General Faculty Assembly who qualify for membership in the Academic Senate [Section 2.4.4.1.(a) above] exceeds the ratio given above, the respective constituent unit shall determine which representatives are also to be members of the Academic Senate.

### **2.4.5. THE EXECUTIVE BOARD OF THE INSTITUTE**

#### **2.4.5.1. Composition**

The Executive Board shall consist of representatives of the Administration, the Faculty, the Students and the Classified Employees. [See Faculty Handbook for a list of members.]

2.4.5.1.(a) The representatives of the Administration shall be the President and the Provost.

2.4.5.1.(b) Representatives of the Faculty shall be elected for terms of three years. Representatives may not be elected to serve consecutive terms.

2.4.5.1.(b)(1) Members shall be elected by the following units from their elected representatives in the General Faculty Assembly: each College, the Georgia Tech Research Institute, and a composite unit of Service and Central Administration.

2.4.5.1.(b)(2) General Faculty members of each unit shall elect one member, who is not an administrator, for each one hundred General Faculty members (rounded) in that unit, with no less than one member and no more than three from each unit.

2.4.5.1.(b)(3) Unit representation shall be based on data compiled from the Fall semester preceding the election.

2.4.5.1.(b)(4) On election to the Executive Board, faculty vacate their membership on the General Faculty Assembly, and if applicable, on the Academic Senate, as an elected representative of their unit.

2.4.5.1.(c) The representatives of the students without the right to vote shall be the Presidents of the Undergraduate Student Body and the Graduate Student Body.

2.4.5.1.(d) The representative of the Classified Employees, without the right to vote, shall be appointed by the Executive Board after appropriate solicitation for recommendation.

### **2.4.5.2. Procedure**

The Chair shall be elected annually by the Board from among the elected members. A quorum of the Board shall be two thirds (2/3) of the membership.

### **2.4.5.3. Powers**

2.4.5.3.(a) The Board shall function as the executive body of the Faculty, empowered to guide the activities of the General Faculty, the Academic Faculty, their representative bodies, and their committees, develop ways of communicating and implementing decisions, formulate plans for consideration of both immediate issues and continuing concerns, and serve, through its Chair, as official spokesperson on actions taken by the Faculty. The Board shall coordinate the activities of all Standing Committees, receive their reports, transmit them with recommendations to the appropriate body for action, and then forward the results of actions through appropriate administrative channels for implementation. Between meetings of the General Faculty, the Academic Faculty, or their representative bodies, the Executive Board shall take whatever action is deemed necessary on emergency matters within its jurisdiction.

2.4.5.3.(b) The Board, either by origination or through recommendations, shall plan the programs for all four bodies. It shall establish the agenda for each meeting, such agenda being composed of Standing Committee reports, presentation of general issues for exploration and possible action, items suggested by the President, and items raised from the floor.

2.4.5.3.(c) At the end of the Fall semester, the Executive Board shall appoint a Nominating Committee, charging it with preparing a slate of nominees to fill positions becoming vacant in the membership of each Standing Committee. The Nominating Committee shall be composed of six members of the Corps of Instruction, as defined in Section 2.4.1.1.(a) and Section 2.4.3.1.(a) (two from the Executive Board, two from the General Faculty, and two from the Academic Faculty) and one student named jointly by the student representatives to the Executive Board. The Chair shall be named by the Board from among the Faculty members. Reports for each body shall be presented by the Nominating Committee to the Executive Board and shall contain at least two nominations for each position to be filled.

2.4.5.3.(d) The Board shall approve or disapprove participation in any postseason athletic event. Approval by the Board shall precede any official public announcement.

2.4.5.3.(e) Actions taken by the Board shall be reported to and reviewed by the General Faculty Assembly or the Academic Senate as appropriate.

### **2.4.6. STANDING COMMITTEES**

Each Standing Committee is an instrument of the faculty body from which its power is derived. The major functions of each Committee are to assemble and evaluate information relevant to its charges, to propose formulations of policy or procedures for consideration by the parent body, and to propose recommendations for action by the parent body. After approval of a policy or procedure by the parent body, the function of the Standing Committee is to assure that all

components of the Institute act in accord with the policy so long as it is in effect. Within some of its charges a Standing Committee may be empowered to act for the parent body: to translate approved policy or procedure into specific actions or judgments. Such actions and judgments remain subject to the approval or disapproval of the parent body.

#### **2.4.6.1. Committees of the General Faculty\***

\*See Faculty Handbook for a list of members of the Committees of the General Faculty.

##### **2.4.6.1.(a) Faculty Benefits**

2.4.6.1.(a)(1) The Faculty Benefits Committee shall consist of five members of the General Faculty elected by that body; the Administrator in charge of financial affairs; and one student with at least junior standing elected jointly by the Student Council and the Graduate Student Senate. The Chair shall be elected annually by the Committee from among the elected General Faculty members. The Secretary shall be appointed by the Chair from among the other members.

2.4.6.1.(a)(2) The Committee shall originate or receive recommendations relative to faculty benefits. It shall evaluate them and make appropriate recommendations to the General Faculty.

2.4.6.1.(a)(3) The Committee shall review annually Institute policy, plans, and procedures on such matters as insurance, retirement, sick leave, death benefits, and vacations, and make appropriate recommendations to the General Faculty.

2.4.6.1.(a)(4) The Committee shall make an annual review of and furnish recommendations to the Administrator in charge of personnel concerning the general policy of the Institute with regard to wage scales, working conditions, and other matters of a similar nature pertaining to non-professional employees.

2.4.6.1.(a)(5) The Committee shall make a comprehensive review of the complete insurance program the first year after the adoption of these Statutes and at least every fifth year thereafter and make appropriate recommendations to the General Faculty.

2.4.6.1.(a)(6) The Committee shall seek to promote both on and off the campus the development of facilities for the benefit of Faculty and Staff members.

##### **2.4.6.1.(b) Faculty Honors**

See Bylaws, Section 2.8.1.7.(b)

##### **2.4.6.1.(c) Faculty Status and Grievance**

2.4.6.1.(c)(1) See Bylaws, Section 2.8.1.7.(f)

2.4.6.1.(c)(2) The Committee shall review annually the records of all Assistant Professors with tenure who have not had a promotion to Associate Professor in eight years, and the records of all Associate Professors who have not had a promotion to Professor in ten years. The Committee shall also review annually the records of all Assistant Professors, Associate Professors, and Professors who have not been granted tenure in six years in professorial rank. If the Committee, after discussion with all relevant persons, finds that the Faculty member is deserving of a promotion (or tenure), it shall so recommend to the Department of Instruction concerned, with

copies to the Faculty member, the appropriate Dean, the Provost, and the President. If it finds that the Faculty member is not deserving of a promotion (or tenure), it shall furnish the member with a written statement of this conclusion, which the member may appeal to the President through the Department of Instruction concerned. Once the case has been reviewed by the Committee, it shall be subject to review only every third year thereafter. Faculty members may, if they feel they have new evidence to present, request as a right a review of their case in any year. The review may be waived.

2.4.6.1.(c)(3) The Committee shall make an annual review of and furnish recommendations to the General Faculty for the transmission to the President concerning the general policy of the Institute with regard to salary scales, tenure, teaching loads, leaves of absence, and other matters of a similar nature pertaining to members of the General Faculty. It shall also investigate and report on variations in the application of such policies.

2.4.6.1.(c)(4) The Committee shall act as the first review board in cases of contested dismissals of members of the General Faculty.

2.4.6.1.(c)(5) The Committee shall receive from any General Faculty member information, suggestions, grievances, or criticisms concerning any aspect of the Institute. It shall evaluate these and transmit constructive criticism and recommendations to appropriate individuals or committees or directly to the General Faculty.

2.4.6.1.(c)(6) Records of Committee proceedings and supporting documents shall be preserved by the Secretary. The Committee shall deny access to these records and documents to all persons not directly involved.

2.4.6.1.(c)(7) In its distributed minutes and in the annual report of its activities and findings, the Committee shall preserve anonymity of the cases it reviews but generalize the issues involved and actions taken.

#### **2.4.6.1.(d) Statutes**

2.4.6.1.(d)(1) See Bylaws, Section 2.8.1.7.(g)

2.4.6.1.(d)(2) The Committee shall originate, or receive and consider, all proposed changes in or amendments to these Statutes and Bylaws and shall make appropriate recommendations to the General Faculty.

2.4.6.1.(d)(3) The Committee shall maintain an up-to-date file on all Statutes, Bylaws and Regulations.

2.4.6.1.(d)(4) The Committee shall review related or supporting Institutional documents such as administrative manuals, regulations, and catalogs, and make whatever recommendations are necessary to bring them into accord with these Statutes and Bylaws.

#### **2.4.6.1.(e) Academic Services**

2.4.6.1.(e)(1) See Bylaws, Section 2.8.1.7.(h)

2.4.6.1.(e)(2) The Committee shall annually review and make recommendations to the General Faculty concerning the policies and procedures governing academically oriented, supportive



institutional functions, among which are the Library, Continuing Education, and the Computer and Research Centers.

**2.4.6.1.(f) (not used)**

**2.4.6.1.(g) Welfare and Security**

2.4.6.1.(g)(1) See Bylaws, Section 2.8.1.7.(i)

2.4.6.1.(g)(2) The Committee shall annually review and make recommendations to the General Faculty concerning the policies and procedures governing such institutional functions as those concerned with health, safety, and the general welfare, among which are campus planning, campus security, parking, safety and fire protection, nuclear safeguards, civil defense, Auxiliary Services, and the Infirmary.

**2.4.6.2. Committees of the Academic Faculty**

See Faculty Handbook for a list of members of the Committees of the Academic Faculty.

**2.4.6.2.(a) Undergraduate Curriculum**

2.4.6.2.(a)(1) The Undergraduate Curriculum Committee shall consist of representatives of the Administration, the Academic Faculty, and the Students, with all members having voting privileges.

2.4.6.2.(a)(2) The Committee shall recommend to the Academic Faculty the requirements for all undergraduate degrees and all proposals for changes in undergraduate degree requirements and curricula. It shall evaluate all new undergraduate courses and degree programs of each Department of Instruction and transmit them with recommendations to the Academic Faculty for action.

2.4.6.2.(a)(3) The Committee shall recommend to the Academic Faculty the establishment of guidelines regulating student petitions for course substitution and grade corrections.

2.4.6.2.(a)(4) The Committee shall rule on requests and appeals by undergraduate students for exceptions to established rules and regulations in academic matters.

2.4.6.2.(a)(5) The Committee shall continually review new methods, aids, and techniques of instruction. When significant changes are considered possible, the Committee shall make recommendations to the Academic Faculty or to the appropriate Department of Instruction.

2.4.6.2.(a)(6) Upon adoption of these Statutes and thereafter at intervals not exceeding six years, the Committee shall make a thorough study of Institute undergraduate curricula, the division of curricula into Departments of Instruction and Centers, and the allocation of Departments of Instruction to Colleges. The committee shall report its findings to the Academic Faculty with appropriate recommendations.

**2.4.6.2.(b) Graduate**

2.4.6.2.(b)(1) The Graduate Committee shall consist of representatives of the Administration, the Academic Faculty, and the Students, with all members having voting privileges.

2.4.6.2.(b)(2) The Committee shall recommend to the Academic Faculty the minimum requirements for all graduate degrees and all proposals for changes in graduate degree requirements and curricula. It shall evaluate all new graduate courses and degree programs of each Department of Instruction and transmit them with recommendations to the Academic Faculty for action.

2.4.6.2.(b)(3) The Committee shall establish guidelines which will encourage appropriate research activities as an integral part of the graduate program and encourage high standards of student research, and foster the utilization of all available resources in the development of research activities that are supportive of the graduate programs of the Institute.

2.4.6.2.(b)(4) The Committee shall rule on requests and appeals by graduate students for exceptions to established rules and regulations in academic matters.

2.4.6.2.(b)(5) The Committee shall develop policy and minimum requirements for the admission of students to graduate programs, the admission of students to candidacy for an advanced degree, and the awarding of graduate degrees.

2.4.6.2.(b)(6) In consultation with the Chair of the Department of Instruction concerned, the Committee shall decide what undergraduate courses may be accepted for graduate credit and shall develop policy for qualifications of faculty members who teach graduate courses and direct thesis research.

2.4.6.2.(b)(7) The Committee shall develop policy for the awarding of graduate fellowships, scholarships, and assistantships.

2.4.6.2.(b)(8) Upon adoption of these Statutes and thereafter at intervals not exceeding six years, the Committee shall make a thorough study of the quality and appropriateness of the graduate program in each Academic unit. At the same intervals the Committee shall also study the division of curricula into Department of Instruction and Centers, and the allocation of Departments of Instruction to Colleges. The Committee shall report its findings to the Academic Faculty with appropriate recommendations.

#### **2.4.6.2.(c) Student Regulations**

2.4.6.2.(c)(1) See Bylaws, Section 2.8.1.7.(l)

2.4.6.2.(c)(2) The Committee shall originate or receive all proposed changes in or amendments to institutional regulations pertaining to the student body, both graduate and undergraduate. It shall review the proposed changes to determine whether they are in accord with these Statutes and make recommendations to the Academic Faculty.

2.4.6.2.(c)(3) The Committee shall define and publish, with the approval of the Academic Faculty and the President, the official policy of the Institute concerning acceptable student behavior and academic honesty. This policy shall include the definition of categories of offenses and penalties.

#### **2.4.6.2.(d) Student Academic and Financial Affairs**

2.4.6.2.(d)(1) See Bylaws, Section 2.8.1.7.(m)

2.4.6.2.(d)(2) The Committee shall annually review the system for academic advising and make appropriate recommendations to the Academic Faculty.

2.4.6.2.(d)(3) The Committee shall establish and periodically review the qualifications for a student to receive academic honors and prizes. The Committee shall advise the office or the individual responsible for the formal programs at which such awards are presented.

2.4.6.2.(d)(4) The Committee shall establish policy governing the academic standing and classification of students. The Committee shall make an annual review of these policies and make appropriate recommendations to the Academic Faculty.

2.4.6.2.(d)(5) The Committee shall originate or receive and make recommendations regarding all changes in policy, criteria, or procedure regarding student admission and readmission to the undergraduate programs of the Institute.

2.4.6.2.(d)(6) The Committee shall recommend policy regarding both graduate and undergraduate financial aid. It shall make an annual review of the financial aid program and make appropriate recommendations to the Academic Faculty.

2.4.6.2.(d)(7) The Committee shall annually review the counseling and career planning program and orientation program for new students and make appropriate recommendations to the Academic Faculty.

2.4.6.2.(d)(8) The Committee shall approve all intercollegiate schedules of extracurricular activities, such as athletics and debate. In addition, the Committee shall approve all institutional functions for which excused absences from classes for the students involved are to be granted.

#### **2.4.6.2.(e) Student Activities**

2.4.6.2.(e)(1) See Bylaws, Section 2.8.1.7.(d)

#### **2.4.6.2.(f) Student Grievance and Appeal**

2.4.6.2.(f)(1) See Bylaws, Section 2.8.1.7.(n)

2.4.6.2.(f)(2) The Committee shall act on its own cognizance or that of any student or group of students to define grievances, suggestions, or criticisms concerning any matter relevant to the Institute. It shall weigh and evaluate the material and transmit constructive recommendations to appropriate individuals, offices, committees, the Academic Faculty, the Student Council, or the Graduate Student Senate.

2.4.6.2.(f)(3) The Committee shall arrange for and conduct hearings on each request by students for reconsideration of a ruling against them by the judicial arm of the student government and shall render a decision in the case. If the decision is appealed, the Committee shall transmit all its records of the case to the President for further consideration. A student may apply for a review of the decision of the President to the Board of Regents, as provided for by [The Policy Manual of the Board of Regents \(Section 407.01\)](#). The decision in the case shall be transmitted to the office, or offices, responsible for recording it, for notifying the student officially, and for implementing the action.

2.4.6.2.(f)(4) In its distributed minutes and in the annual report of its activities and findings, the Committee shall preserve the anonymity of individuals by generalizing the issues involved and the actions taken.

#### **2.4.6.2.(g) Student Honor**

2.4.6.2.(g)(1) See Bylaws, Section 2.8.1.7.(e)

#### **2.4.6.2.(h) Student Computer Ownership**

2.4.6.2.(h)(1) See Bylaws, Section 2.8.1.7.(o)

### **2.4.7. RIGHTS AND RESPONSIBILITIES**

#### **2.4.7.1. Appointments**

##### **2.4.7.1.(a) Introduction**

2.4.7.1.(a)(1) Recommendations on appointment, renewal, promotion, or tenure of a faculty member having professorial rank shall ordinarily originate within the relevant Department of Instruction or comparable Division of the Institute and shall be presented through the prescribed channels to the President. Actions shall become final, subject to the right of appeal, upon approval by the President and the Board of Regents.

2.4.7.1.(a)(2) Individual faculty members may initiate a request for consideration for promotion or tenure, and this request must be processed through the prescribed channels. Candidates may, by written request, withdraw their candidacy at any stage without prejudice.

2.4.7.1.(a)(3) The channels for recommending renewal, promotion, or tenure of faculty members having professorial rank must be prescribed in accordance with the guiding principle that evaluations and recommendations shall be made by both appropriate administrators and committees of faculty peers.

2.4.7.1.(a)(4) Upon approval or disapproval of renewal, promotion, or tenure, the candidate shall be notified in writing by the President. In cases of disapproval of promotion, a candidate shall be counseled concerning the reasons for a negative decision.

2.4.7.1.(a)(5) Specific procedures followed in the renewal, promotion, and tenure process shall be published and distributed to the Faculty.

2.4.7.1.(a)(6) Promotion and tenure decisions may be appealed through appropriate channels. Recommendations of nonrenewal made to the President may be referred by him for consideration and recommendation to the Faculty Status and Grievance Committee.

##### **2.4.7.1.(b)**

Every appointment or promotion shall be made solely on the basis of merit and the special abilities of the individual, as delineated in [The Policy Manual of the Board of Regents \(Section 803\)](#). Additional criteria or guidelines for renewal, promotion, and conferral of tenure in

professorial ranks may be established by the President in consultation with the Executive Board and shall be published and distributed to the Faculty.

#### **2.4.7.1.(c) Additional Considerations**

2.4.7.1.(c)(1) The basic criteria for the appointment and promotion of Faculty in the several institutions of the University System shall be appropriate qualifications and performance as set forth in policies of the Board of Regents. Relationship by family or marriage shall constitute neither an advantage nor a disadvantage provided the individual meets and fulfills the appropriate University System appointment and promotion standards as set forth in these policies.

2.4.7.1.(c)(2) No individual shall be employed in a department or unit under the supervision of a relative who has or may have a direct effect on the individual's progress, performance, or welfare.

2.4.7.1.(c)(3) In accordance with policies of the Board of Regents, there shall be no discrimination based upon race, color, sex, religion, creed, national origin, age, or handicap of employees in their appointment, promotion, retention, remuneration, or any other condition of employment.

2.4.7.1.(c)(4) For the purpose of this policy, relatives are defined as husbands and wives, parents and children, brothers, sisters, and any in-laws of any of the foregoing. Nothing in this section shall be construed in such manner as to prevent the award of a scholarship, fellowship, or assistantship to a student who is related to an employee or a member of the Faculty or the Board of Regents.

2.4.7.1.(d) In the case of shared appointments where faculty members devote part of their time to another college, university, or division thereof, the letters of appointment shall specify the institution and department of instruction where Faculty membership and the associated rights shall reside.

#### **2.4.7.1.(e)**

Any member of the Faculty who has accepted an Employment Contract for a definite period is obligated to the Institute for that period. Such persons employed for the fiscal year or academic year of two semesters have an obligation to inform, as soon as practical, their immediate supervisor of their intention to resign on completion of the appointment period. At a minimum such persons shall give written notice of their intention to resign to the President of the Institute or an authorized representative within two weeks of being notified of the terms of the Employment Contract for the fiscal or academic year immediately following.

#### **2.4.7.1.(f)**

Any member of the Faculty not included in the above paragraph [Section 2.4.7.1.(e)] who plans to leave the Institute shall give written notice at least thirty (30) days prior to the termination date.

### **2.4.7.2. Tenure and Promotion**

Tenure resides at the institutional level. Members appointed to positions defined in Section 2.4.1.1.(b), from positions defined in Section 2.4.1.1.(a), retain their academic status and tenure.

Others appointed to these positions shall have all the rights and privileges of Faculty members except professorial rank and tenure unless also appointed to a professorship within a Department of Instruction. Institutional responsibility for employment of a tenured individual is to the extent of continued employment on a one hundred percent (100%) workload basis for an academic year of two full semesters until retirement, dismissal for cause, or release because of financial exigency.

2.4.7.2.(a) Only Assistant Professors, Associate Professors, and Professors who are normally employed full-time (as defined by Regents' Policies) by the Institute are eligible for tenure. Faculty members with adjunct appointments shall not acquire tenure. The term "full-time" is used in these tenure regulations to denote service on a one-hundred percent (100%) workload basis for an academic year of two full semesters.

2.4.7.2.(b) Tenure may be awarded, upon recommendation by the President and approval by the Board of Regents, upon completion of a probationary period of at least five years of full-time service at the rank of Assistant Professor or higher. The five-year period must be continuous except that a maximum of two years interruption because of leave of absence or of part-time service may be permitted; provided, however, that no probationary credit for the period of an interruption shall be allowed. A maximum of three years credit toward the minimum probationary period may be allowed for service at other institutions or for full-time service at the rank of Instructor at the Institute. Such credit for prior service shall be defined in writing by the President and approved by the Chancellor at the time of the initial appointment at the rank of Assistant Professor or higher.

2.4.7.2.(c) The maximum time that may be served at the rank of Assistant Professor or above without the award of tenure shall be seven years, provided, however, that a terminal contract for an eighth year may be proffered if the Institute's recommendation for tenure is not approved by the Board of Regents. The maximum time that may be served in any combination of full-time instructional appointment (Lecturer, Instructor, or professorial ranks) without the award of tenure shall be ten years, provided, however, that a terminal contract for an eleventh year may be proffered if an institutional recommendation for tenure is not approved by the Board of Regents.

These maximum times for the probationary period of tenure do not include approved extension times established by any legitimate policy of Georgia Tech.

2.4.7.2.(d) The maximum period of time that may be served at the rank of full-time Instructor shall be seven years.

2.4.7.2.(e) Tenure or probationary credit toward tenure is lost upon resignation from the Institute, or written resignation from a tenured position in order to take a nontenured position, or written resignation from a position for which probationary credit toward tenure is given in order to take a position for which no probationary credit is given. In the event such an individual is again employed as a candidate for tenure, probationary credit for the prior service may be awarded in the same manner as for service at another institution.

2.4.7.2.(f) Upon approval of the award of tenure to an individual by the Board of Regents, the individual shall be notified in writing by the President of the Institute with a copy of the notification forwarded to the Chancellor.

2.4.7.2.(g) An annual report shall be made to the President by each unit of the Institute on the status of its Faculty. Numbers of tenured and nontenured Faculty, by rank, shall be furnished. Individuals who have been retained in full-time faculty status at the Institute for a period in excess of seven years without the award of tenure shall be identified by name and justification for such retention given. These reports shall be available for public inspection.

2.4.7.2.(h) Tenure carries with it no assurance of further promotion, but any Faculty members who have not received a promotion from Assistant Professor to Associate Professor in eight years, or a promotion from Associate Professor to Professor in ten years shall have their case reviewed by the Faculty Status and Grievance Committee unless the Faculty member requests otherwise. The member shall be recommended to the President for a promotion or be given a written statement as to the reason for its denial. A Faculty member may waive the review. Any promotion denied for budgetary reasons alone shall be considered as deferred until sufficient funds become available.

2.4.7.2.(i) In the case of shared appointments where a Faculty member devotes part-time to another college, university, or division thereof, the Notice of Appointment shall specify the institution and department of instruction where Faculty membership and the rights associated with it shall reside.

2.4.7.2.(j) The status of a tenured Faculty member on leave of absence for service with the United States Armed Forces shall not be impaired by such service. All Faculty members in such service shall be considered on a leave status. All Faculty members in such service shall lose tenure if, within thirty days after release from Armed Forces duty, they do not notify the President of their intention to return and do not report to work within sixty days after release. It is not intended that a leave of absence for duty in the Armed Forces and, therefore, retention of tenure be extended beyond the time when the Faculty member has the opportunity to return to the Institute.

2.4.7.2.(k) The status of a tenured Faculty member who is granted a leave of absence for a specific period, upon recommendation of the President and approval of the Board of Regents, shall not be impaired by such absence from the Institute.

### **2.4.7.3. Nonreappointments**

2.4.7.3.(a) Each year, on or before the dates specified in Section 2.4.7.3.(d), below, the President or an authorized representative shall advise in writing all nontenured Faculty who have been awarded academic rank (Instructor, Assistant Professor, Associate Professor, Professor) and who are employed under written contract whether an employment contract for the succeeding academic year will be offered to them. Such written notice shall be delivered by hand or by certified mail, to be delivered to the addressee only, with receipt to show whom and when delivered and the address where delivered. This notification requirement does not apply to persons holding temporary or part-time positions in whatever rank stated.

2.4.7.3.(b) Nontenured Faculty and other nontenured personnel employed under written contract shall be employed only for the term specified in their contract and subsequent future employment, if any, shall result solely from a separate offer and acceptance requisite to execution of a new and distinct contract.

2.4.7.3.(c) Faculty members and other personnel under written contract on a temporary appointment shall be employed only for the term specified in the contract and the contract shall not be automatically renewed.

2.4.7.3.(d) Notice of intention to renew or not to renew a nontenured Faculty member who has been awarded academic rank (Instructor, Assistant Professor, Associate Professor, Professor) shall be furnished in writing [See Section 2.4.7.3.(a), above] at least three months before the date of termination of an initial one-year contract; at least six months before the date of termination of a second one-year contract; at least nine months before the date of termination of a contract after two or more years of service in the Institute.

#### **2.4.7.4. Procedures for Removal of Faculty Members**

##### **2.4.7.4.(a) Introduction**

Tenured Faculty members, or nontenured Faculty members before the end of their contract term, may be dismissed for any of the following reasons provided that the Institute has complied with procedural due process requirements.

2.4.7.4.(a)(1) Conviction or admission of guilt of a felony or a crime involving moral turpitude during the period of employment or prior thereto if the conviction or admission of guilt was willfully concealed;

2.4.7.4.(a)(2) Professional incompetence, neglect of duty, or default of academic integrity in teaching, research, or scholarship;

2.4.7.4.(a)(3) Sale or distribution of illegal drugs, teaching under the influence of alcohol or illegal drugs, or any other use of alcohol or illegal drugs which interferes with the Faculty members' performance of duty or responsibilities to the Institute or to their profession;

2.4.7.4.(a)(4) Physical or mental incompetence as determined by law or a medical board of three or more licensed physicians and reviewed by the Faculty Status and Grievance Committee;

2.4.7.4.(a)(5) False swearing with respect to official documents filed with the Institute;

2.4.7.4.(a)(6) Disruption of any teaching, research, administrative, disciplinary, public service, or other authorized activity.

##### **2.4.7.4.(b) Preliminary Procedures**

The dismissal of tenured Faculty members or nontenured Faculty members during their contract term should be preceded by:

2.4.7.4.(b)(1) Discussion between the Faculty member and appropriate administrative Officers looking toward a mutual settlement.



2.4.7.4.(b)(2) Informal inquiry by the Faculty Status and Grievance Committee, which may, upon failing to effect an adjustment, advise the President whether dismissal proceedings should be undertaken; its advisory opinion shall not be binding upon the President.

2.4.7.4.(b)(3) A letter to the Faculty member forewarning that the member is about to be terminated for cause and informing the member that a statement of charges will be forwarded to the member upon request. The Faculty member may also request a formal hearing on the charges before a Faculty Hearing Committee. Failure to request charges or a hearing within a reasonable time shall constitute a waiver of the right to a hearing.

2.4.7.4.(b)(4) A statement of charges, if requested by the Faculty member, framed with reasonable particularity by the President or a designated representative.

#### **2.4.7.4.(c) Provision for Hearing Committee**

A dismissal as defined above shall be preceded by a statement of charges or causes (grounds for dismissal) if so requested, including a statement that the Faculty member concerned shall have the right to be heard by a Faculty Hearing Committee.

2.4.7.4.(c)(1) The Hearing Committee shall consist of not less than three or more than five impartial Faculty members appointed by the Executive Board, from among members of the entire Faculty (as defined by policies of the Board of Regents) of the Institute.

2.4.7.4.(c)(2) Members of the Hearing Committee may serve concurrently on other committees of the Faculty. The Hearing Committee will meet as a body when it is called into session by the Chair of the Executive Board either at the Chair's discretion or upon request of the President or the Faculty member who is subject to dismissal.

2.4.7.4.(c)(3) When the Hearing Committee is called into session, it shall elect a Chair from among its membership. Members should remove themselves from the case, either at the request of a party or on their own initiative, if they deem themselves so disqualified for bias or interest. Each party shall have a maximum of two challenges without stated cause; provided, however, that all challenges whether with or without cause shall be made in writing and filed with the Chair of the Hearing Committee at least five (5) days in advance of the date set for the hearing. The Chair shall have the authority to decide whether a member of the Committee is disqualified for cause. If the Chair determines that members are so disqualified or if members remove themselves from a case, the replacement shall be made in the same manner as the original Committee was selected. If the Chair is thus removed, the Committee shall elect a new Chair after the Committee replacements have been appointed. A minimum of three members is required for any action to be taken.

#### **2.4.7.4.(d) Dismissal Procedures**

In all instances where a hearing is requested, the following hearing procedures shall apply:

2.4.7.4.(d)(1) Service of notice of the hearing with specific reasons or charges against the Faculty member together with the names of the members of the Hearing Committee shall be made in writing at least twenty (20) days prior to the hearing. The Faculty member may waive a hearing or may respond to the charges in writing at least five (5) days in advance of the date set for the hearing. If a Faculty member waives a hearing, but denies the charges or asserts that the

charges do not support a finding of adequate cause, the Hearing Committee shall evaluate all available evidence and rest its recommendation upon the evidence in the record.

2.4.7.4.(d)(2) The Hearing Committee, in consultation with the President and the Faculty member, may exercise its judgment as to whether the hearing should be public or private.

2.4.7.4.(d)(3) During the proceedings the Faculty member and the Administration shall each be permitted to have an academic advisor and/or counsel of their choice. The Hearing Committee shall be permitted to have advisory counsel.

2.4.7.4.(d)(4) At the request of either party or the Chair of the Hearing Committee, a representative of a responsible educational association shall be permitted to attend as an observer.

2.4.7.4.(d)(5) A tape recording or transcript of the proceeding shall be kept and made available to the Faculty member and the Administration in the event an appeal is filed.

2.4.7.4.(d)(6) An oath or affirmation shall be administered to all witnesses by any person authorized by law to administer oaths in the State of Georgia.

2.4.7.4.(d)(7) The Hearing Committee may grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise is made.

2.4.7.4.(d)(8) The Faculty member and the administration shall be afforded a reasonable opportunity to obtain necessary witnesses and documentary or other evidence.

2.4.7.4.(d)(9) The Faculty member and the Administration will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear but the Committee determines that the interests of justice require the admission of the witness's statement, the Committee will identify the witness, disclose the statement, and, if possible, provide for interrogatory.

2.4.7.4.(d)(10) The Hearing Committee will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available. All questions relating to admissibility of evidence or other legal matters shall be decided by the Chair or presiding officer.

2.4.7.4.(d)(11) The findings of fact and the decision of the Hearing Committee will be based solely on the hearing record.

2.4.7.4.(d)(12) Except for such simple announcements as may be required covering the time of the hearing and similar matters, public statements and publicity about the case by either the Faculty member or Administrative Officers should be avoided until the proceedings have been completed, including consideration by the Board of Regents in the event an appeal is filed. The President and the Faculty member will be notified in writing of the decision and recommendation, if any, of the Hearing Committee.

2.4.7.4.(d)(13) If the Hearing Committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the President. If the President does not approve the report, the President should state the reasons in writing to the Committee for response before rendering a final decision. If the Committee concludes that an academic

penalty less than dismissal would be more appropriate than dismissal, it may so recommend with supporting reasons. The President may or may not follow the recommendations of the Committee.

2.4.7.4.(d)(14) After complying with the foregoing procedures, the President shall send an official letter to the Faculty member notifying the member of either retention or removal for cause. Such letter shall be delivered to addressee only, with receipt to show to whom and when delivered and address where delivered. The letter shall clearly state any charges which the President has found sustained and shall notify the Faculty member that an appeal may be made to the Board of Regents for review. The appeal shall be submitted in writing to the Executive Secretary of the Board of Regents within twenty (20) days following the decision of the President. It shall state the decision complained of and the redress desired. The Board of Regents or a committee of the Board shall investigate the matter thoroughly and render its decision thereon within sixty (60) days from the date of the receipt of the appeal or from the date of any hearing which may be held thereon.

2.4.7.4.(d)(15) Upon dismissal by the President, the Faculty member shall be suspended from employment without pay from the date of the final decision of the President. Should the Faculty member be reinstated by action of the Board of Regents, compensation shall be made from the date of suspension.

#### **2.4.7.4.(e) Relief from Duties during Dismissal Proceedings**

The President in consultation with the Executive Board shall determine whether a Faculty member confronted with a dismissal charge shall be temporarily relieved of duties. Unless legal considerations forbid, any such relief from duties will be with pay.

#### **2.4.7.4.(f) Designated Representative**

Whenever the word “President” or “Administration” is used in these procedures, it shall be construed to include the designated representative of the President.

#### **2.4.7.5. Retirement, Disability, Death Benefits, and Insurance**

A Faculty member’s rights to retirement because of age, years of service, or disability, to adjustments for disability and reduced services, to death benefits, and to insurance programs shall be in accordance with the Teacher’s Retirement Act of the State of Georgia and such supplementary provisions thereto as may be made by the Institute and the Board of Regents.

### **2.4.8. DEPARTMENTS OF INSTRUCTION**

2.4.8.1. A Department of Instruction (or a College without Departments) is an administrative subdivision of the Institute organized for the purpose of giving instruction and carrying on research in one of the well-organized branches of study and investigation. For the purpose of this Section, the Faculty of a Department of Instruction is defined as those individuals who devote .38 or more EFT to that unit and have the rank of Regents’ Professor, Professor, Associate Professor, Assistant Professor, or Instructor.

2.4.8.2. A Chair of a Department holds office at the pleasure of the President. The Department Chair is appointed by the President with the approval of the Board of Regents. In appointment of a Chair the President shall receive the recommendation of the Provost and of the Dean of the College of which the Department is a subdivision. The Dean of the College shall make such recommendation only after extensive consultation with the Department Faculty.

2.4.8.3. The Faculty of a Department of Instruction shall, subject to the direction of the Academic Faculty, be responsible for the program of studies offered by the Department. The Faculty of a Department may recommend such changes and modifications in its curriculum as it may deem desirable and shall have the power to fix prerequisites for courses which it offers. The Faculty of a Department shall hold regular meetings no less frequently than once during each academic semester.

2.4.8.4. The Faculty of a Department shall, subject to the limitations of Regents' policies and the Institute Statutes and Bylaws, make rules and regulations for its government and procedure, provide such committees as may be required, and make such other policies as may be necessary for the maintenance of high educational standards in the Department.

2.4.8.5. The Faculty of each Department (or College without Departments) shall establish an elected Departmental (or College) Committee which shall be composed of full-time members of the Department, elected by written vote of the Faculty of the Department. The Chair of the Committee shall be elected from among the members of the Committee. This Committee shall act as an advisory body to the Chair of the Department on all matters concerning the welfare of the Department.

## **2.5. ARTICLE IV, THE STUDENTS**

Educational excellence in an academic community presupposes awareness of and respect both for institutional rights and duties and for individual liberties and responsibilities. The Institute has an obligation to fulfill its educational mission as effectively as its capacity and resources permit. Correspondingly, the Institute shall exercise its right to establish and maintain high academic standards and its authority to adopt and implement standards of orderly conduct which promote an atmosphere conducive to learning and meaningful individual development.

### **2.5.1. ADMISSION AND ACCEPTANCE**

In the admission of students the Georgia Institute of Technology shall not discriminate on the basis of race, color, sex, religion, creed, national origin, age, or handicap of U.S. citizens. The Institute shall exercise its responsibility to select those applicants who, in its judgment, can best benefit from the educational programs of the Institute. All standards and policies shall be equitably applied and shall be in conformity with state and federal laws.

### **2.5.2. ACADEMIC RELATIONSHIPS**

The Faculty has an obligation to evaluate the academic performances of students. Such evaluation will be conducted by the Faculty solely on an academic basis, not on opinions, conduct, or associations in matters unrelated to academic pursuits.

### **2.5.3. FREE INQUIRY, EXPRESSION, PEACEABLE ASSEMBLY**

As a community of scholars, the Institute encourages students to examine and discuss questions and issues of interest to them. The right of peaceable assembly, fundamental to an opportunity for free inquiry and expression, shall be assured.

The mutual responsibility of the Institute and the student or student organization seeking free inquiry, expression, and peaceable assembly shall be to assure an opportunity for a reasoned approach to the resolving of issues by means of orderly procedures that insure respect for the rights of others.

The Institute shall require that in their public expressions students have the responsibility to make clear that they speak only for themselves as individuals or as representatives of a student organization.

### **2.5.4. INVOLVEMENT IN INSTITUTIONAL POLICY AND PROCEDURES**

The Institute recognizes that students may become involved constructively in efforts of individuals and organizations to improve physical and social conditions of the Institute, to increase the effectiveness of the Institute, to increase the effectiveness of the processes of learning and development of maturity, and to create larger opportunities for self-government characterized by orderly procedures and the exercise of mature judgment.

Institute regulations with respect to student conduct shall be determined by the Academic Faculty and President upon recommendations of the appropriate committees of the Academic Faculty. Students may initiate changes in rules and regulations governing them [Sections 2.4.6.2.(c) and 2.4.6.2.(e)] or initiate proceedings dealing with infringement of their rights, both individually and collectively.

Procedural rules established by the student judicial bodies of the Institute shall be subject to the approval of the Academic Faculty.

## **2.6. ARTICLE V, INTERPRETING THESE STATUTES**

Within the Institute, the President, in consultation with the Executive Board, is the final authority for interpreting these Statutes. Before issuing a ruling, the President shall seek the advice of the Statutes Committee.

## **2.7. ARTICLE VI, AMENDING THESE STATUTES**

Amendments to these Statutes may be proposed at any time by any member of the academic community. All proposals originating outside the Statutes Committee shall be submitted in writing to the Chair of that Committee. After due deliberation, the Statutes Committee shall report the proposed amendments and its recommendations to the General Faculty for initial discussion either on the first but no later than the second regular meeting after the proposed amendments have been received by the Committee. Action on the proposal may not be taken earlier than the next regularly scheduled meeting or a special meeting called for the purpose of voting on the proposed amendments. Such a special meeting shall be held no less than sixty

days after the first reading, and it shall be held during the regular academic year. A favorable vote on the part of two-thirds (2/3) of the General Faculty members present shall constitute approval of the proposed amendments.

Amendments to these Statutes become effective only after approval by the President, the Chancellor, and the Board of Regents.

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Source: Statutes approved by the General Faculty: October 9, 2001

Approved by the Board of Regents: May 10, 2000

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## **2.8. BYLAWS OF THE STATUTES**

### **2.8.1. THE FACULTY**

#### **2.8.1.1. The General Faculty**

##### **2.8.1.1.(a) Meetings**

The General Faculty shall hold at least two meetings during the academic year, on the Tuesday preceding midterm of the Fall and Spring semesters. One hundred members present at a scheduled or a properly called meeting shall constitute a quorum. Special meetings may be called on the President's own volition or shall be called by the President on petition of fifty members. In such special meetings the matters considered shall be restricted to those items listed in the call for the meeting. In the President's absence the Provost shall preside. In the absence of both the President and the Provost, the Chair of the Executive Board shall preside.

##### **2.8.1.1.(b) Procedure**

The General Faculty shall establish its rules of procedure and determine all matters pertaining to its own meetings not otherwise specified herein. Minutes shall be kept by the Secretary and shall be given general distribution and posted. A copy of the minutes of each meeting shall be sent within three days after the meeting to the Chancellor.

#### **2.8.1.2. The General Faculty Assembly**

##### **2.8.1.2.(a) Nomination and Election Procedures**

2.8.1.2.(a)(1) Representatives of a Department of Instruction (a School, Department, or College without departments), a Laboratory or other unit of the Georgia Tech Research Institute, the Libraries, and the Office of the Dean of Students shall be elected by a process to be determined by the members of that unit, except that the nominations shall be open and a secret ballot used.

2.8.1.2.(a)(2) Nominations for representatives of the aggregate units in the Services and Central Administration (other than the Libraries and the Office of the Dean of Students) shall be supervised by the Executive Board (with nominations by petition admissible). Voting shall be

by preferential mail ballot. The procedure for carrying out a preferential mail ballot shall be determined by action of the Executive Board.

2.8.1.2.(a)(3) Unit representation shall be based on data compiled from the Fall semester preceding the election.

### **2.8.1.2.(b) Order of Elections**

2.8.1.2.(b)(1) Elections shall be held in the second half of the Spring semester for Representatives from Departments of Instruction, colleges without such Departments, Laboratories, and Services and Central Administration, whose terms expire that year. This election shall be held as soon as possible after the election for members of the Executive Board.

2.8.1.2.(b)(2) Elections shall be held in the middle of the Spring semester for members of the Executive Board whose terms as Representatives of the General Faculty Assembly expire that year.

### **2.8.1.2.(c) Meetings**

The General Faculty Assembly shall hold at least two meetings during the academic year, on the Tuesday preceding mid-term of the Fall and Spring semesters. A majority of the membership shall constitute a quorum at a scheduled or properly called meeting. Special meetings may be called on the President's own volition or shall be called by the President on petition of one-third (1/3) of the members. In such special meetings, the matters considered shall be restricted to those items listed in the call for the meeting. In the President's absence the Provost shall preside. In the absence of both the President and the Provost, the Chair of the Executive Board shall preside.

### **2.8.1.2.(d) Procedure**

The General Faculty Assembly shall establish its rules of procedure and determine all matters pertaining to its own meetings not otherwise specified herein or determined by the General Faculty. Minutes shall be kept by the Secretary and shall be given general distribution and posted.

## **2.8.1.3. The Academic Faculty**

### **2.8.1.3.(a) Meetings**

The Academic Faculty shall meet at least once a year, in the Spring semester. The time of meeting shall be determined by the Executive Board. One hundred members present at a scheduled or properly called meeting shall constitute a quorum. Special meetings may be called on the President's own volition or shall be called by the President on petition of fifty members. In such special meetings the matters considered shall be restricted to those listed in the call for the meeting. In the President's absence, the Provost shall preside. In the absence of both the President and the Provost, the Chair of the Executive Board shall preside. All members of the Academic Faculty shall have the right to vote.

### **2.8.1.3.(b) Procedure**

The Academic Faculty shall establish its rules of procedure and determine all matters pertaining to its own meetings not otherwise specified herein. Minutes shall be kept by the Secretary and shall be given general distribution and posted. A copy of the minutes of each meeting shall be sent within three days after the meeting to the Chancellor.

### **2.8.1.4. The Academic Senate**

#### **2.8.1.4.(a) Meetings**

The Academic Senate shall hold at least one meeting during each semester of the academic year. A majority of the membership shall constitute a quorum at a scheduled or properly called meeting. Special meetings may be called on the President's own volition or shall be called by the President on petition of one-third (1/3) of the members. In such special meetings, the matters considered shall be restricted to those items listed in the call for the meeting. In the President's absence, the Provost shall preside. In the absence of both the President and the Provost, the Chair of the Executive Board shall preside.

#### **2.8.1.4.(b) Procedure**

The Academic Senate shall establish its rules of procedure and determine all matters pertaining to its own meetings not otherwise specified herein or determined by the Academic Faculty. Minutes shall be kept by the Secretary and shall be given general distribution and posted.

### **2.8.1.5. The Executive Board**

Elections of members of the Executive Board shall be conducted in the middle of the Spring semester. Voting shall be by preferential mail ballot.

The representatives of the students without the right to vote shall be the Presidents of the Undergraduate Student Body and the Graduate Student Body.

### **2.8.1.6. The Secretary of the Faculty**

2.8.1.6.(a) A member of the General Faculty shall be appointed the Secretary of the Faculty by the President on the recommendation of the General Faculty Assembly to serve as a permanent secretary of the various Faculty bodies: the General Faculty, the General Faculty Assembly, the Academic Faculty, the Academic Senate, and the Executive Board.

2.8.1.6.(b) The Secretary shall not serve concurrently as a representative nor as a member of a standing committee and shall be given appropriate released time funded by the Administration.

2.8.1.6.(c) The Secretary shall keep minutes and records, and distribute and publish the proceedings of the various bodies.

2.8.1.6.(d) The Secretary shall accept the Nominating Committee reports from the Executive Board and shall request other nominations from the Faculty. In the Spring semester, the Secretary, under the supervision of the Executive Board, shall conduct the elections of representatives and members of Standing Committees.



### **2.8.1.7. Standing Committees**

#### **2.8.1.7.(a) Procedure**

2.8.1.7.(a)(1) The minutes of each meeting of a Standing Committee shall be promptly transmitted to the Secretary of the parent body for distribution and posting. The minutes will be presented at the next meeting of the parent body for action.

2.8.1.7.(a)(2) All members of a Standing Committee have the right to vote unless specifically excluded by these Statutes/Bylaws. A committee may establish its own rules of procedure insofar as such rules are in agreement with the policy of its parent body. A committee quorum shall be a majority of the regular membership. Any member of a committee may request the Chair to call a meeting. One-third (1/3) of the members of a committee may call a meeting by distributing to all members a jointly signed call, designating purpose, day, place, and time. Only the matters stated in such a call may be acted upon at the meeting so called. With the prior approval of the Chair, any member of a Standing Committee who is compelled to be absent from a meeting may send a representative with the power to vote.

2.8.1.7.(a)(3) No members of a Standing Committee shall participate in the consideration of an appeal of their own decision rendered in the performance of other duties. Between meetings of the General Faculty, the Academic Faculty, or their representative bodies any matters requiring emergency action and not delegated to a Standing Committee shall be referred to the Executive Board.

2.8.1.7.(a)(4) Annually, each Standing Committee shall submit a written report detailing its activities and findings, distributing one copy to the Executive Board, one copy to the Secretary of the parent body for the official files, and two copies to the Library. An oral summary report shall be made to its parent body.

2.8.1.7.(a)(5) During its deliberations and before making recommendations, a Standing Committee shall consult with offices and persons having responsibility relevant to its charges. When a Standing Committee needs assistance to accomplish its charge, the Chair with approval of a majority of the Committee may appoint appropriate subcommittees with the approval of the Executive Board. Subcommittees so appointed shall be chaired by a member of the appointing Standing Committee, unless otherwise approved by the Executive Board, and shall be composed of appropriate persons in the Institute. Subcommittees may fall into one of two categories, ad hoc or standing. An ad hoc subcommittee shall be given a specific charge and a specific terminal date for its final report to be submitted to the parent committee. A Standing Subcommittee shall exist upon a continuing basis in order to handle a specific charge of the parent committee. Members of Standing Subcommittees shall be appointed annually. Members of a subcommittee may be present to provide whatever clarification is requested when their report is submitted to the Standing Committee and shall provide the same assistance in the meetings when the report is brought before the appropriate parent body.

2.8.1.7.(a)(6) Standing Committees shall be composed of Faculty, Administrators, and Students. Chairs of Departments of Instruction shall for the purpose of election to committee membership be considered members of the Corps of Instruction and not as administrators, except that they may not be elected to membership on committees charged with considering recommendations or matters which have involved them in their administrative capacity. Similarly, Administrators or

General Faculty members in charge of certain administrative functions shall not be eligible to serve in nondesignated positions on Standing Committees that are charged with reviewing or overseeing those functions. Committee membership is by election or specific designation as provided by these Statutes/Bylaws. Elections of representatives of the Faculty and Administration to Standing Committees shall be conducted during the Spring semester by the Secretary of the Faculty. Elections shall be determined by majority vote of the members voting.

Elected members of a Standing Committee shall serve a three-year term beginning at the start of the Fall semester and may succeed themselves once. Elected members shall serve on no more than two Standing Committees simultaneously. No elected members of the Executive Board shall serve on a Standing Committee. Faculty members who are members of a Standing Committee (or Committees) may be candidates for the Executive Board; however, if elected, they shall resign from the Standing Committee(s). If a member of a Standing Committee resigns, takes a leave of absence, or undergoes a change of assignment so that he/she no longer qualifies as a member of the unit he/she was elected to represent, the Executive Board shall designate the first runner-up from the most recent election for that position to serve the remainder of the unexpired term. If the first runner-up is unable or unwilling to serve, the position goes to the second runner-up, etc. If the entire slate of nominees for that position is unable or unwilling to serve the Executive Board shall appoint an appropriate replacement to serve the remainder of the unexpired term upon recommendation of the Executive Board's most recent Nominating Committee. When the Chair of a Standing Committee is to be absent from the Institute during an entire semester, the committee shall elect a chair pro tempore for the period of absence.

2.8.1.7.(a)(7) Administrators named by these Statutes/Bylaws to be members of Standing Committees serve permanent and continuing terms, since they represent a relevant office or staff. Members of the administrator's office or staff may be requested to meet with the Committee for consultation.

2.8.1.7.(a)(8) Student members of a Standing Committee, elected by the Student Council or the Graduate Student Senate or jointly, or specifically designated by these Statutes/Bylaws, shall serve a one-year term beginning at the start of the Fall semester of each academic year. They may succeed themselves once.

2.8.1.7.(a)(9) Standing Committees charged with judicial activities, either initial hearings or appeals, shall proceed with dispatch to hear the cases and render decisions.

### **2.8.1.7.(b) Faculty Honors**

2.8.1.7.(b)(1) The Faculty Honors Committee shall consist of four members of the General Faculty elected by that body, and one student with at least junior standing elected jointly by the Student Council and the Graduate Student Senate. The Chair shall be elected annually by the Committee from among the elected General Faculty members. The Secretary shall be appointed by the Chair from among the other members.

2.8.1.7.(b)(2) The Committee shall originate or receive names of Faculty members to be nominated for honors and awards. It shall evaluate and take appropriate action for the awarding of such honors and awards.

2.8.1.7.(b)(3) The Committee shall assist in planning annual events such as the retirement dinner.

**2.8.1.7.(c) (not used)**

**2.8.1.7.(d) Student Activities**

2.8.1.7.(d)(1) The Student Activities Committee shall consist of five members of the Corps of Instruction elected from the Academic Faculty; the administrator in charge of student affairs; one graduate student elected by the Graduate Student Senate and two undergraduate students with at least junior standing elected by the Student Council. The Chair shall be elected annually by the Committee from among the elected Academic Faculty members. The Secretary shall be appointed by the Chair from among the other members.

2.8.1.7.(d)(2) The Committee shall receive all proposed changes in any Constitution of the Student Body. The Committee shall consider such changes and make appropriate recommendations to the Academic Faculty.

2.8.1.7.(d)(3) The Committee shall consider for approval all charters of student organizations recommended by the student government and make appropriate recommendations to the Academic Faculty.

2.8.1.7.(d)(4) The Committee shall originate or receive, review, and recommend to the Academic Faculty all changes in regulations for the student government concerning social fraternities and sororities, clubs, societies, student housing, student publications, intramural athletics, the Georgia Tech Student Center, and other student organizations and activities.

2.8.1.7.(d)(5) The Committee shall review all proposals from the student government to the President recommending the amount and distribution of student activities fees.

**2.8.1.7.(e) Student Honor**

2.8.1.7.(e)(1) The Student Honor Committee shall consist of four members of the Corps of Instruction elected from the Academic Faculty and two undergraduate students with at least junior standing elected by the Student Council and one graduate student elected by the Graduate Student Senate. The Chair shall be elected annually by the Committee from among the Academic Faculty members. The Secretary shall be appointed by the Chair from among other members.

2.8.1.7.(e)(2) The Committee shall hear and try all cases referred to it involving alleged dishonesty in academic matters on the part of the students. The decision in the case shall be transmitted to the office, or offices, responsible for recording it, for notifying the student officially, and for implementing the action.

2.8.1.7.(e)(3) In its distributed minutes and in the annual report of its activities and findings, the Committee shall preserve the anonymity of individuals by generalizing the issues involved and the actions taken.

#### **2.8.1.7.(f) Faculty Status and Grievance Committee**

The Faculty Status and Grievance Committee shall consist of seven members of the Corps of Instruction, who are not administrators, elected by the General Faculty. At least four shall carry the rank of Professor. The Chair shall be elected annually by the Committee. The Secretary shall be appointed by the Chair from among the other members.

#### **2.8.1.7.(g) Statutes Committee**

2.8.1.7.(g)(1) The Statutes Committee shall consist of five General Faculty members elected by that body and one student with at least junior standing elected jointly by the Student Council and the Graduate Student Senate. The Chair shall be elected annually by the Committee from the elected General Faculty members.

#### **2.8.1.7.(h) Academic Services Committee**

2.8.1.7.(h)(1) The Academic Services Committee shall consist of six General Faculty members elected by that body; two administrators elected from the General Faculty; and one student with at least junior standing elected jointly by the Student Council and the Graduate Student Senate. The Chair shall be elected by the Committee from among the elected nonadministrative General Faculty members. The Secretary shall be appointed by the Chair from among the other members.

#### **2.8.1.7.(i) Welfare and Security Committee**

2.8.1.7.(i)(1) The Welfare and Security Committee shall consist of four General Faculty members elected by the body; two administrators elected from the General Faculty; and one student with at least junior standing elected jointly by the Student Council and the Graduate Student Senate. The Chair shall be elected annually by the Committee from among the elected nonadministrative General Faculty members. The Secretary shall be appointed by the Chair from among the other members.

#### **2.8.1.7.(j) Undergraduate Curriculum**

2.8.1.7.(j)(1) The Administration shall be represented by the Administer in charge of academic affairs, the Dean of Students (without the right to vote) and the Registrar who shall be the Secretary. The Academic Faculty shall be represented by members elected from the Corps of Instruction who are not Administrators. Each College shall have a representation based on student credit hours added to a representation based on the number of majors; the two representations shall be calculated as follows: the number of undergraduate student credit hours produced in that College during the preceding academic year divided by 50,000 and rounded up, provided that each college has at least one representative; the number of undergraduate majors registered in that College in the Fall term of the present Academic Year divided by 1500 and rounded up, provided each College has at least one representative. These Faculty representatives shall be elected by the Academic Faculty. The Students shall be represented by one member with at least junior standing elected by the Student Council. College representation shall be based on statistics for the preceding fiscal year. Changes in College representation shall be made when the criterion for such changes has been met for two successive years, except that any individual elected shall have a full term of office regardless of such changes in representation.

The Chair shall be elected annually by the Committee from among the elected Academic Faculty members.

**2.8.1.7.(k) Graduate**

2.8.1.7.(k)(1) The Administration shall be represented by the Administer in charge of graduate studies and by the Registrar who shall be Secretary. The Academic Faculty shall be represented by members elected from the Corps of Instruction who are not Administrators. Each College shall have a number of representatives determined as the number of graduate student majors registered in that College in the Fall of the present Academic Year divided by 250 and rounded up, providing each College has at least one representative. These Faculty representatives shall be elected by the Academic Faculty. The Students shall be represented by one graduate student elected by the Graduate Student Senate. College representation shall be based on statistics for the preceding fiscal year. Changes in College representation shall be made when the criterion for such changes has been met for two successive years, except that any individual elected shall have a full term of office regardless of such changes in representation. The Chair shall be elected annually by the Committee from among the elected Academic Faculty members.

**2.8.1.7.(l) Student Regulations**

2.8.1.7.(l)(1) The Student Regulations Committee shall consist of four members of the Corps of Instruction elected from the Academic Faculty, two administrators elected from the Academic Faculty, two undergraduate students with at least junior standing elected by the Student Council, and one graduate student elected by the Graduate Student Senate. The Chair shall be elected annually by the Committee from among the elected Corps of Instruction members. The Secretary shall be appointed by the Chair from among the other members. The Administrator in charge of student affairs shall be an ex officio member without voting rights.

**2.8.1.7.(m) Student Academic and Financial Affairs**

2.8.1.7.(m)(1) The Student Academic and Financial Affairs Committee shall consist of five members of the Corps of Instruction elected from the Academic Faculty; the Registrar, who shall be the Secretary; one graduate student elected by the Graduate Student Senate; and two undergraduate students with at least junior standing elected by the Student Council. The Chair shall be elected annually by the Committee from among the elected Academic Faculty members. The Administrator in charge of counseling and career planning shall be an ex officio member without voting rights.

**2.8.1.7.(n) Student Grievance and Appeal**

2.8.1.7.(n)(1) The Student Grievance and Appeal Committee shall consist of three members of the Corps of Instruction elected from the Academic Faculty and two students with at least junior standing elected jointly by the Student Council and the Graduate Student Senate. The Chair shall be elected annually by the Committee from among the elected Academic Faculty members. The Secretary shall be appointed by the Chair from among other members.

### **2.8.1.7.(o) Student Computer Ownership**

2.8.1.7.(o)(1) The Student Computer Ownership Committee shall consist of five members of the Corps of Instruction elected from the Academic Faculty, one full-time student of freshman standing elected by the Student Council, one other full-time student elected by the Student Council, one representative from the Office of Information Technology, one representative from the Georgia Tech Computer Store, and one representative from Auxiliary Services representing the Residential Networking group, with all members having voting privileges. The Chair shall be elected annually by the Committee from among the elected Academic Faculty members. The Secretary shall be appointed by the Chair from among the other members.

2.8.1.7.(o)(2) The Committee shall define and periodically review and update (at least annually) the standard hardware specifications for a minimally-configured student computer.

2.8.1.7.(o)(3) The Committee shall originate or receive all requests to add or delete specific software from the standard software suite used by the Georgia Tech community. It shall make recommendations to the Academic Faculty regarding any significant modifications to the standard software suite. It shall make at its own discretion any minor modifications and/or revisions to the standard software suite.

2.8.1.7.(o)(4) The Committee shall conduct an annual review of all student computer support procedures, originate or receive all requests to modify these procedures, make recommendations for minor changes or revisions to the appropriate Administrative unit, and make recommendations for any significant changes to the Academic Faculty.

2.8.1.7.(o)(5) The Committee shall originate or receive and make recommendations to the Academic Faculty regarding any changes or modifications to the Student Computer Ownership policy.

2.8.1.7.(o)(6) The Committee shall assist in the establishment and promotion of activities that encourage the use of computers in education. When needed, the Committee shall make appropriate recommendations to the Academic Faculty or to the relevant Department of Instruction.

## **2.8.2. RIGHTS AND RESPONSIBILITIES**

### **2.8.2.1. Appointments**

Channels for recommending renewal, promotion, or tenure of faculty members shall adhere to the following tenets:

2.8.2.1.(a) Recommendations by the Department Chair, Dean of the College, and the Provost shall be essential elements.

2.8.2.1.(b) Recommendations by faculty committees at the Department and College levels are essential elements. They shall elect their own Chairs and shall function in a manner that allows independent judgment. Written committee recommendations shall be transmitted to the appropriate administrative officials.

2.8.2.1.(c) The Provost shall consult with selected senior Faculty members before making recommendations to the President.

## **2.8.2.2. Duties, Responsibilities, Privileges**

### **2.8.2.2.(a) Introduction**

2.8.2.2.(a)(1) The primary function of the Institute is education through teaching and research. Acceptance of appointment obligates Faculty members to perform such service in instruction and discharge such other duties as may be assigned to them during the term of appointment.

2.8.2.2.(a)(2) Members of the teaching staff are free to express, inside the classroom, their opinion on any matter that falls within the field of knowledge they are employed to teach and study, subject to high standards of professional ethics, accurate expression, and respect for the rights, feelings and opinions of others.

2.8.2.2.(a)(3) No part of these Statutes/Bylaws may be interpreted as abridging Faculty members' power to exercise their rights as a citizen, free from institutional censorship or discipline, but their position in the community imposes an obligation of care for the interest of the Institute. Public signing of open letters, petitions, political advertisements, etc., should preferably show the person's name only. Any indication of affiliation with the Institute should clearly state that it is for identification only and does not represent an endorsement by the Institute or by other persons in the Institute. Caution is urged on Institute members whose position in the Institute is such that private vs. official views may be difficult to distinguish by the public. A Faculty member whose civic and political activities may require a large allocation of time should consider requesting a full or partial leave of absence.

### **2.8.2.2.(b) Outside Activities**

Faculty members may engage in outside professional activities (including professional societies, governmental or industrial committees, review boards, panels, consultation, etc.) with or without compensation provided such activity in no way interferes with their obligations to the Institute, creates no conflicts of interest, and the extent and the nature of the activity has been fully disclosed to and approved by the Chair of their Department of Instruction or by the appropriate administrative officer in noninstructional divisions. Although consulting is to be performed only after the employee's obligation to the Institute has been fulfilled, practical considerations necessitate a limit of not more than one day per week average for any calendar quarter during those portions of the year when the employee is on full-time duty.

### **2.8.2.2.(c) Absence**

Faculty members, except when prevented by emergency, shall obtain approval in advance from the Chair of their Department of Instruction or from the appropriate administrative officer in non-instructional divisions to be absent from assigned duties. Faculty members shall assist in arranging for their duties to be performed during periods of their absence.

### **2.8.2.2.(d) Leave of Absence**

Faculty members may be granted a leave of absence for a clearly specified period of time, with or without pay, by the President with the approval of the Chancellor and the Board of Regents. Leaves with pay shall be granted only for the purpose of promoting scholarly work and encouraging professional development and shall be made only after consideration of the

likelihood of the applicant's being able to accomplish the purpose for which the leave is requested, the effect that granting of the leave will have on the department or division of which the applicant is a member, and the availability of funds. Leaves without pay shall be granted to all Faculty members who are ordered to active military service of the United States.

**2.8.2.2.(e)**

Faculty members who have been granted a leave of absence with pay shall be required before beginning their leave to sign an agreement that they will return the full amount of compensation received while on leave if they should not remain with the Institute for at least one year of service after the termination of this leave.

**2.8.2.2.(f) Appeals**

Members of the General Faculty who believe their rights have been invaded or ignored shall have a right to request consideration of their case by the Faculty Status and Grievance Committee. They may appeal the decision of the Committee to the President. If the President's decision does not settle the matter to their satisfaction they may, in accordance with [The Bylaws of the Board of Regents \(Section VIII\)](#), apply to the Board, without prejudice to their position, for a review of the decision. The application for review shall be submitted in writing to the Senior Vice Chancellor for Human and External Resources of the Board of Regents within a period of twenty (20) days following the decision of the President.

**2.8.3. AMENDING THESE BYLAWS**

Amendments to these Bylaws may be proposed at any time by any member of the academic community. All proposals originating outside the Statutes Committee shall be submitted in writing to the Chair of that Committee. After due deliberation, the Statutes Committee shall report the proposed amendments and its recommendations to the General Faculty for initial discussion either on the first but no later than the second regular meeting after the proposed amendments have been received by the Committee. Action on the proposal may not be taken earlier than sixty days after the first reading. A special meeting of the General Faculty may be called for the purpose of voting on the proposed amendments, provided that the special meeting is held during the regular academic year. A favorable vote on the part of two-thirds (2/3) of the General Faculty members present shall constitute approval of the proposed amendments.

Amendments to these Bylaws become effective only after approval by the President.

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Source: Bylaws approved by the General Faculty: April 18, 2000

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## **2.9. EXECUTIVE BOARD'S GUIDELINES TO GENERAL FACULTY MEMBERSHIP**

*[Note: These Guidelines are not a part of these Statutes or Bylaws and they are subject to change by the Executive Board. They were last updated on January 16, 2001.]*

### **2.9.1. STATUTES**

Sections 2.4.1.1.(b)(2), 2.4.1.1.(c), and 2.4.1.1.(d) of the Statutes charge the Executive Board with the responsibility for designating persons, not specifically identified by the Statutes, as members of the General Faculty.

### **2.9.2. STATEMENT OF GUIDELINES**

2.9.2.1. The following position titles, not specifically designated by the Statutes, shall be eligible for General Faculty membership without the need for further review:

- Assistant to the President [See Section 2.4.1.1.(b)(2) of the Statutes]
- Associate Vice President (not just Academic Affairs)
- Associate Registrar [See Section 2.4.1.1.(b)(2)]
- Associate Dean (including student affairs)
- Assistant Dean (including student affairs)

2.9.2.2. The following position titles shall not be eligible for General Faculty membership *[unless that status is awarded as an action under 2.4.1.1.(c) of the Statutes:]*

- All nonexempt position titles
- Administrative Specialist
- Hospital Administrator
- Department Manager (administration)
- Division Head (administration)
- Assistant Department Manager
- Assistant Division Head
- Assistant to the Director
- Assistant to the Dean
- Associate Director (administration and student affairs)
- Assistant Director (administration and student affairs)
- Conference Coordinator
- Recreation Coordinator

2.9.2.3. Any title not specifically included in Section 2.9.2 above, either by oversight or addition (since the "Guidelines" used in this review are not specifically covered by the Statutes), must be

reviewed by the Executive Board (or its appropriate committee) to determine its eligibility for General Faculty membership.

2.9.2.4. Only persons serving at least 0.75 EFT in eligible positions designated in Section 2.9.2, above, shall be eligible for General Faculty membership, unless otherwise approved by the Executive Board or specified by the Statutes.

2.9.2.5. Employees hired prior to September 2000 into professional positions that require at least a master's degree or its equivalent in education and experience in a relevant field may be considered for reclassification to the category of "Professional Classified Staff" (see Statutes, 2.4.1.1.(c)(1)). The Office of Human Resources will be responsible for identifying cases where retroactive award might be appropriate and will specify the procedures to be used in any application for change. Any change will be effective at the date of the action by OHR. The position will remain a "Professional Classified Staff" position, with the attendant qualification requirements, for all subsequent appointments to that position.

2.9.2.6. Those members of Georgia Tech specifically designated as members of the General Faculty by action of the Executive Board and approval by the President should be designated on the basis of the appropriateness of the position that they hold for General Faculty status. The designation by the Executive Board of General Faculty status is to an individual and not to the position. Hence, new appointments to that position do not automatically receive General Faculty status and designation of such status to the new appointment is contingent upon action by the Executive Board and approval by the President. In addition, a person leaving the position for which he/she has been designated General Faculty status would lose such status unless, by action prior to approval of the Statutes, it has been granted or otherwise approved by the Executive Board, or specified by the Statutes.

2.9.2.7. Responsibility for decisions on General Faculty membership under Section 2.4.1.1.(c) of the Statutes and Section 2.9.2.5 of these Guidelines is delegated to the Associate Vice President for Human Resources.

2.9.2.8. In the event of an administrative transfer of a person from a position conferring General Faculty status to a position not so designated, the Executive Board will use the following procedure to determine whether the person should be granted General Faculty status as an individual in the new position. The Office of Human Resources will notify the Faculty Status and Grievance Committee that such a transfer is proposed. Copies of this notification will be provided to the individual and the supervisor initiating the reclassification. The Committee will ascertain whether or not the individual wishes to seek General Faculty status in the new position and, if so, will then review the nature of the responsibilities in the new position and the qualifications of the individual. The Committee will recommend to the Executive Board whether the person should be granted General Faculty status as an individual in the new position under the general provisions of Section 2.4.1.1.(d) of the Statutes. In the event of a positive decision by the Executive Board then the person will hold General Faculty status as an individual and the provisions of 2.9.2.6 of these guidelines will apply. The review by the Faculty Status and Grievance Committee shall be subject to their normal rules of confidentiality.

## **2.10. FACULTY STATUS AND GRIEVANCE COMMITTEE PROCEDURES**

### **2.10.1. PROCEDURES FOR THE CONDUCT OF AN INVESTIGATION OR OF AN INFORMAL HEARING**

#### **2.10.1.1.**

A General Faculty member with a grievance should first attempt to resolve the grievance with the help of the responsible administrator at one level above the level of the dispute. If the grievance cannot be resolved in this way, the grievant shall submit to the Chair of the Faculty Status and Grievance Committee (FSGC) a written request for an informal investigation or an informal hearing. The Chair shall ensure that the person(s) against whom the grievance is filed is (are) properly identified, that specific charges are included, and that the form of requested redress is included.

The Chair shall inform the grievant that this written request, together with any supporting documentation, will be given to the person(s) grieved against, in an attempt to support the clarification and resolution of the case. In like fashion, any documentation made available to the FSGC by the person(s) grieved against will be given to the grievant.

#### **2.10.1.2.**

The Chair will present this request to the FSGC. If a majority vote of the Committee so authorizes, the Chair will appoint at least two members of the FSGC to conduct the requested investigation or informal hearing. The Chair may serve as one of the members of the subcommittee.

#### **2.10.1.3.**

An informal investigation is conducted by a two member sub-committee of the FSGC. They will interview the grievant(s), the party(ies) grieved against, and other parties who can be identified as having insights or information bearing upon the case.

An informal hearing is conducted by as many members of the FSGC as can be arranged. In this case, the grievant(s), the party(ies) grieved against, and others are brought together at a hearing so that any charges made by one party can be clarified by the other party without delay.

#### **2.10.1.4.**

The Chair of the FSGC, in consultation with the grievant as well as the full FSGC, decides which of these two types of investigation is most appropriate. Unless extenuating circumstances dictate otherwise, an informal investigation is the preferred type of investigation. It offers each party a private hearing without direct confrontation.

If the understanding of a grievance would seem to require a meeting of the parties involved before a hearing committee, then a decision to select an informal hearing will be made by the Chair of the FSGC, again in consultation with the grievant and the FSGC.

**2.10.1.5.**

Before the start of an informal investigation or hearing and during its course, the Chair of the FSGC shall inform affected administrators of the proceedings and shall seek their cooperation and assistance.

**2.10.1.6.**

For both an informal investigation and an informal hearing, the FSGC will attempt to achieve a resolution within ninety days, from the time a properly documented written request is received from the grievant until the FSGC makes its report to the President.

The goal of an informal investigation or of an informal hearing is for the subcommittee to bring an even-handed, written statement of the grievance to the FSGC as well as a recommendation for its resolution. This report, which shall contain findings and recommendations, may be revised by the full Committee. The final report shall be approved by the Committee and transmitted by the Chair to all parties to the grievance, to the President, and to other administrators, as appropriate. In the transmittal letter, it should be stated that the recommendations are intended to aid the resolution of the case. The President shall make a final decision on the case and convey that decision in writing to the parties and to the Chair of the FSGC, normally within twenty-one days of receipt of the FSGC recommendations.

**2.10.2. INFORMATION AND PROCEDURES FOR PARTIES PRESENTING CASES BEFORE A FORMAL HEARING COMMITTEE**

**2.10.2.1. Authorization**

A formal hearing shall be authorized by the Faculty Status and Grievance Committee under the following circumstances: (a) a grievant makes a written request for a formal hearing within fifteen days after receipt of the final report of the FSGC concerning an informal hearing or investigation; or (b) the Statutes or Institute policies require a formal hearing by the FSGC.

**2.10.2.2. Notification**

A copy of the charges made by the grievant(s) will be provided to the respondent(s).

**2.10.2.3. Formulation of a Formal Hearing Committee**

A formal hearing is conducted by a committee consisting of four faculty members chosen from the General Faculty and a Chair who is a member of the FSGC.

The Office of Human Resources of Georgia Institute of Technology will generate a list of twenty-four potential members of the Formal Hearing Committee by a random selection from the membership of the General Faculty. The FSGC shall remove from the list of twenty-four any persons who are: members of the FSGC, Executive Committee Liaison to the FSGC, parties to the grievance, or witnesses. The number shall then be restored to twenty-four by random selection. This process shall be continued until a qualified list is selected. Prior to the formal hearing, the grievant and the respondent will meet with the Chair of the FSGC for the purpose of striking names alternately until four members of the Formal Hearing Committee have been

selected. The last two names struck will become alternates. Members of the Formal Hearing Committee must have approval of the Chair of the FSGC to be excused from the assignment. An excused person will be replaced by an alternate. The Formal Hearing Committee shall be chaired by a member of the FSGC.

Dismissal hearings for tenured faculty members, or non-tenured faculty members before the end of their contract term, shall be conducted pursuant to procedures established by the Bylaws of the Board of Regents and the Statutes of the Institute. In such proceedings, the FSGC recommends that a five person dismissal hearing committee be chosen from a randomly selected panel of twenty-five, using the procedures established herein, with the Chair elected by the Committee.

#### **2.10.2.4. Presentation of Cases**

The grievant(s) and the respondent(s) are normally expected to present their own cases. However, all parties may have an advisor present at the hearing, and, when justice requires, the Chair of the FSGC or the Chair of the Formal Hearing Committee shall authorize an advisor to present a case. On request, the Chair of the FSGC may appoint an advisor to assist a party or to present the case of a party. Attorneys may be advisors but may not present cases.

#### **2.10.2.5. Time**

The Chair will establish a time limit for the entire proceedings as well as for its parts. Thus, the grievant(s) and the respondent(s) will be given a specified time for their brief opening statements, for presenting their cases, for cross-examination, for redirect examination, for rebuttal (by the grievant), and for closing statements. The agenda, with time limits, will be distributed by the Chair eight working days before the hearing.

The Chair will exercise authority to cut off "filibustering" or obvious repetition, and to enforce time limits.

#### **2.10.2.6. Who May be Present for Formal Hearings of the FSGC**

The hearing may be closed except to the members of the Formal Hearing Committee, the parties, and members of the Faculty Status and Grievance Committee. Advisors to parties, as heretofore described, may be present.

#### **2.10.2.7. Order of Presentation**

##### **2.10.2.7(a)**

The grievant(s) and respondent(s) will make brief opening statements. Each statement shall lay out the general nature of the case, without presenting evidence.

##### **2.10.2.7(b)**

Following the opening statements, the parties will present their cases with the grievant(s) making the first presentation(s). At this time any documents or testimony relevant to the case may be presented.

**2.10.2.7(c)**

Each party will have the right of cross-examination directly after the presentation of evidence by each witness. Redirect examination will be permitted. No new evidence may be introduced during the cross- or redirect examination.

**2.10.2.7(d)**

An opportunity for rebuttal will be provided to the grievant.

**2.10.2.7(e)**

Each party may make a closing statement. This is an opportunity for summary and argument and not for the presentation of new evidence.

**2.10.2.8. Evidence**

In general, any item may be presented as evidence so long as it is relevant and material. Each party shall prepare at least seven copies of all material intended for use in the presentation: one copy for each side and five copies for the Formal Hearing Committee. The copies shall be provided with covers, in either notebooks or clasped folders. Lengthy materials, such as papers and publications, should be summarized or referenced if their contents are not specifically germane to the hearing. Material not included in the copies will not be admitted at the hearing.

The copy for the other party must be delivered to the Hearing Chair ten working days before the hearing. The designated recipients of these copies should arrange to obtain them from the Hearing Chair no sooner than nine working days before the hearing. Material which is not available at the time that the seven copies are delivered to the Hearing Chair may still be admissible as evidence, at the discretion of the Chair. In such a case, this new material will be distributed to all parties by the Chair prior to the hearing.

Rebuttal material and background documents need not be included in the distribution copies, but must be available for examination by the other side and the Hearing Committee during the hearing. Such items will be labeled as exhibits and will become part of the record.

**2.10.2.9. Witnesses**

Each party may call witnesses. Witnesses will be sequestered upon request of a party or by direction of the Chair. At least ten working days before the scheduled hearing, each party shall provide the Hearing Committee Chair a list of witnesses who will be called and a list of witnesses who may be called. The other party should arrange to obtain these lists from the Hearing Chair no sooner than nine working days before the hearing. The responsibility for notifying each witness resides with the party who has designated that witness.

**2.10.2.10. Tape Recording**

The proceedings will be tape recorded or taken down by a court reporter. The tapes or the transcript will be the official record of the proceeding and will be preserved by the Secretary of the FSGC.

### **2.10.2.11. Recommendations to the FSGC**

The Chair and the other four members of the Formal Hearing Committee will prepare written findings and recommendations to be given to the full FSGC. The Chair of the FSGC shall submit the Formal Hearing Committee's report, together with any recommendations of the FSGC, to the parties, to the President, and to other administrators, as appropriate, normally within thirty days of the hearing. In the transmittal letter, it should be stated that the recommendations are intended to aid the resolution of the case. The President shall make a final decision on the case and convey that decision in writing to the parties and to the Chair of the FSGC, normally within twenty-one days of receipt of the FSGC recommendations.

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Source: Faculty Status and Grievance Committee Date: 5/95

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## **2.11. COMMITTEES OF THE FACULTY**

Membership for the current year may be found at:

<http://www.facultysenate.gatech.edu/CommitteesoftheFaculty02-03-2.html>

## **2.12. MEMBERS OF THE GENERAL FACULTY ASSEMBLY**

Membership for the current year may be found at

<http://www.facultysenate.gatech.edu/GeneralFacultyReps02-03.html>

## **2.13. MEMBERS OF THE ACADEMIC SENATE**

Membership for the current year may be found at:

<http://www.facultysenate.gatech.edu/AcademicSenateReps-02-03.html>

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## 3.0. APPOINTMENT, PROMOTION, TENURE, SALARY FOR GEORGIA TECH FACULTY

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### 3.1. ACADEMIC QUALIFICATIONS AND FACULTY STATUS

*Minimum Standards Established by the Board of Regents*

#### 3.1.1. GENERAL STATEMENT\*\*

*\*\*The Policy Manual of the Board of Regents, Second Edition, 1982, Section 803.09.*

##### 3.1.1.1.

It is intended that these policies shall be sufficiently flexible to permit an institution to make individual adjustment to its own peculiar problems or circumstances. These policies are to be considered a statement of minimum and general requirements which are capable of application throughout the System and are not a limitation upon the additional standards and requirements which a particular institution may wish to adopt for its own improvement. Several institutions of the System have published a code of statutes as a statement of individual institutional policy. Member colleges who have not adopted such a code are advised to do so and to submit it for consideration and approval of the Chancellor and the Board of Regents.

##### 3.1.1.2.

For convenience of reference, institutions in the University System of Georgia are hereinafter referred to as:

#### **Type I. Universities**

- Georgia Institute of Technology, Atlanta
- Georgia Southern University, Statesboro
- Georgia State University, Atlanta
- Medical College of Georgia, Augusta
- University of Georgia, Athens
- Valdosta State College, Valdosta

#### **Type II. Senior Institutions**

- Albany State University, Albany
- Armstrong Atlantic State University, Savannah
- Augusta University, Augusta



- Clayton College and State University, Morrow
- Columbus State University, Columbus
- Fort Valley State University, Fort Valley
- Georgia College and State University, Milledgeville
- Georgia Southwestern State University, Americus
- Kennesaw State University, Marietta
- North Georgia College and State University, Dahlonega
- Savannah State University, Savannah
- Southern Polytechnic State University, Marietta
- State University of West Georgia, Carrollton

**Type III. State Colleges**

- Dalton State College, Dalton
- Macon State College, Macon

**Type III. Two-Year colleges**

- Abraham Baldwin Agricultural College (ABAC), Tifton
- Atlanta Metropolitan College, Atlanta
- Bainbridge College, Bainbridge
- Coastal Georgia Community College, Brunswick
- Dalton College, Dalton
- Darton College, Albany
- Georgia Perimeter College, Decatur
- East Georgia College, Swainsboro
- Floyd College, Rome
- Gainesville College, Gainesville
- Gordon College, Barnesville
- Middle Georgia College, Cochran
- South Georgia College, Douglas
- Waycross College, Waycross

**3.1.1.3.**

At various places the phrase "doctor's degree or an equivalent in training, ability, or experience" is used. In consideration of the fact that the possession of a doctor's degree or lack of it, is of significance in direct proportion to the ability and competence of the individual concerned, the following equivalents in training, ability, or experience are suggested:

**3.1.1.3.(a)**

Established reputation in field of interest.

**3.1.1.3.(b)**

Research, scholarly publications, creative writing.

**3.1.1.3.(c)**

Superior teaching as shown by competence in the conduct of classes and seminars, effective relations with students, and use and development of appropriate teaching aids.

**3.1.1.3.(d)**

Substantial, significant and integrated program of study beyond the master's degree.

**3.1.1.3.(e)**

Outstanding service to the institution.

**3.1.1.3.(f)**

Activities related to professional growth and development--such as participation in educational, professional, scientific and scholarly organizations, services to society, professional experience in industrial and governmental activities, practice of a learned profession, and other types of related endeavors.

**3.1.2. QUALIFICATIONS FOR FACULTY APPOINTMENTS\*\***

*\*\*The Policy Manual of the Board of Regents, Second Edition, 1982, Section 803.01.*

**3.1.2.1.**

Minimum employment qualifications for all three types of institutions and all academic ranks within these institutions shall be:

**3.1.2.1.(a)**

Master's degree. Exceptions may be made for:

3.1.2.1.(a)(1) Persons of special learning and ability;

3.1.2.1.(a)(2) Promising individuals who have recently acquired the bachelor's degree and are proceeding with their graduate training; and

3.1.2.1.(a)(3) Temporary emergency appointments.

**3.1.2.1.(b)**

Evidence of ability as a teacher.

**3.1.2.1.(c)**

Evidence of scholarly competence and activity.

**3.1.2.1.(d)**

Successful experience (this must necessarily be waived in the case of beginners who meet all other requirements).

**3.1.2.1.(e)**

Desirable personal qualities judged on the basis of personal interview, complete biographical data, and recommendation.

**3.1.2.2. Type I**

In addition to Section 3.1.2.1. above, initial appointees to the associate or full professorial rank should have the doctor's degree or equivalent in training, ability, or experience.\*

\**Note:* Exceptions are recognized in specialized professions (see Section 3.1.1.3.).

**3.1.2.3. Type II**

In addition to Section 3.1.2.1. above, initial appointees to full professorships should have a doctor's degree or equivalent in training, ability or experience.

**3.1.2.4. Type III**

In addition to Section 3.1.2.1. above, initial appointees to full professorships should have completed at least two years of work beyond the bachelor's degree. With reference to persons appointed to serve as department heads, each appointee should have two years of work beyond the bachelor's degree or, in certain specialized professions, the highest training available in accordance with recognized standards in the particular field of specialization.

**3.1.3. CRITERIA FOR PROMOTION\*\***

\*\*The Policy Manual of the Board of Regents, Second Edition, 1982, Section 803.08.

**3.1.3.1.**

Minimum for all three types of institutions in all professorial ranks:

**3.1.3.1.(a)**

Superior teaching;

**3.1.3.1.(b)**

Outstanding service to the institution;

**3.1.3.1.(c)**

Academic achievement; and

**3.1.3.1.(d)**

Professional growth and development. Noteworthy achievement in all four of the above need not be demanded, but should be expected in at least two. A written recommendation should be submitted by the head of the department concerned setting forth the reasons for promotion.

**3.1.3.1.(e)**

The faculty member's length of service with an institution shall be taken into consideration in determining whether or not the faculty member should be promoted.

**3.1.3.2. Type I**

In addition to Section 3.1.3.1. above, promotions to an associate or full professorship should require the doctor's degree or its equivalent in training, ability, or experience. Neither the possession of a doctorate nor longevity of service is a guarantee *per se* of promotion.

**3.1.3.3. Type II**

The requirements for promotion to a full professorship are the same as Section 3.1.3.2. above.

**3.1.3.4. Type III**

In addition to Section 3.1.3.1. above, promotion to an associate or full professorship should require at least two year's study beyond the bachelor's degree.

**3.1.4. TENURE FOR TYPES I, II, AND III INSTITUTIONS\*\***

*\*\*The Policy Manual of the Board of Regents, Second Edition, 1982, Section 803.09.*

**3.1.4.1. Types I, II and III**

It is intended that these tenure policies shall be the minimum standard for award of tenure, but they are to be sufficiently flexible to permit an institution to make individual adjustment to its own peculiar problems or circumstances. These policies are to be considered a statement of general requirements which are capable of application throughout the System and are not a limitation upon any additional standards and requirements which a particular institution may wish to adopt for its own improvement. Such additional standards and requirements, which must be consistent with the Regents' Policies, and approved by the Board of Regents, shall be incorporated into the statutes of an institution.

**3.1.4.2.**

Tenure resides at the institutional level. Institutional responsibility for employment of a tenured individual is to the extent of continued employment on a one hundred percent (100%) workload basis for three out of every four consecutive academic quarters until retirement, dismissal for cause, or release because of financial exigency, or program modification as determined by the Board.

**3.1.4.3.**

Only Assistant Professors, Associate Professors, Professors who are normally employed full-time (as defined by Regent's Policies) by an institution are eligible for tenure.

(BR Minutes, 1979-80, p. 73; 1980-81, p. 303; 1990-91, pp. 369-370)

The term "full-time" is used in these tenure regulations to denote service on a one hundred percent (100%) work load basis for at least three out of four consecutive academic quarters.

Faculty members with adjunct appointments shall not acquire tenure. The award of tenure is limited to the above academic ranks and shall not be construed to include honorific appointments.

(BR Minutes, 1990-91, pp. 369-370)

**3.1.4.4.**

Tenure may be awarded, upon recommendation by the President and approval by the Board of Regents, upon completion of a probationary period of at least five years of full-time service at the rank of assistant professor or higher. The five-year period must be continuous except that a maximum of two years interruption because of a leave of absence or part-time service may be permitted, provided, however that an award of credit for the probationary period of an interruption shall be at the discretion of the President. In all cases in which a leave of absence, approved by the President, is based on birth or adoption of a child, or serious disability or prolonged illness of the employee or immediate family member, the five-year probationary period may be suspended during the leave of absence. A maximum of three years\_ credit toward the minimum probationary period may be allowed for service in tenure track positions at other institutions or for full-time service at the rank of instructor or lecturer at the same institution. Such credit for prior service shall be defined in writing by the President and approved by the Board of Regents at the time of the initial appointment at the rank of assistant professor or higher. Notwithstanding anything to the contrary in this Policy Manual, in exceptional cases an institution may recommend to the Board of Regents that an outstanding distinguished senior faculty member be awarded tenure upon the faculty member\_s initial appointment. Each such recommendation shall be considered by the Board individually and shall be granted only in cases in which the faculty member, at a minimum, is appointed as an associate or full professor, was already tenured at his or her prior institution, and brings a demonstrably national reputation to the institution (BR Minutes, 1983-84, p. 94; May, 1996, p. 52; April 2000, pp. 31-32).

**3.1.4.5.**

The maximum time that may be served at the rank of Assistant Professor or above without the award of tenure shall be seven years, provided, however, that a terminal contract for an eighth year may be proffered if an institutional recommendation for tenure is not approved by the Board of Regents. The maximum time that may be served in any combination of full-time instructional appointments (Lecturer, Instructor, or professorial ranks) without the award of tenure shall be ten years, provided, however, that a terminal contract for an eleventh year may be proffered if an institutional recommendation for tenure is not approved by the Board of Regents.

(BR Minutes, 1992-93, p. 188)

**3.1.4.6.**

The maximum period of time that may be served at the rank of full-time instructor shall be seven years.

**3.1.4.7.**

Tenure or probationary credit towards tenure is lost upon resignation from an institution, or written resignation from a tenured position in order to take a non-tenured position, or written resignation from a position for which probationary credit toward tenure is given in order to take a position for which no probationary credit is given. In the event such an individual is again employed as a candidate for tenure, probationary credit for the prior service may be awarded in the same manner as for service at another institution.

**3.1.4.8.**

Upon approval of the award of tenure to an individual by the Board of Regents, that individual shall be notified in writing by the President of his/her institution, with a copy of the notification forwarded to the Chancellor.

**3.1.4.9.**

Notice of the intention to renew or not to renew a non-tenured faculty member who has been awarded academic rank (Instructor, Assistant Professor, Associate Professor, Professor) shall be furnished, in writing, according to the following schedule:

**3.1.4.9.(a)**

At least three months before the date of termination of an initial one-year contract;

**3.1.4.9.(b)**

At least six months before the date of termination of a second one-year contract;

**3.1.4.9.(c)**

At least nine months before the date of termination of a contract after two or more years of service in the Institution. This schedule of notification does not apply to persons holding temporary or part-time positions in whatever rank stated.

**3.1.4.10.**

A tenured faculty member or a non-tenured faculty member, before the end of his/her contract term, may be dismissed for any of the following reasons provided that the Institution has complied with procedural due process requirements:

**3.1.4.10.(a)**

Conviction or admission of guilt of a felony or of a crime involving moral turpitude during the period of employment--or prior thereto if the conviction or admission of guilt was willfully concealed;

**3.1.4.10.(b)**

Professional incompetence, neglect of duty, or default of academic integrity in teaching, in research, or in scholarship;

**3.1.4.10.(c)**

Unlawful manufacture, distribution, sale, use, or possession of marijuana, a controlled substance, or other illegal or dangerous drugs as defined by Georgia laws: teaching or working under the influence of alcohol which interfere with faculty member's performance of duty or his/her responsibilities to the Institution or to his/her profession; (BR Minutes, 1989-90, pp. 384-385)

**3.1.4.10.(d)**

Conviction or admission of guilt in a court proceeding of any criminal drug offense; (BR Minutes, 1989-90, pp. 384-385)

**3.1.4.10.(e)**

Physical or mental incompetence as determined by law or by a medical board of three or more licensed physicians and reviewed by a committee of the faculty;

**3.1.4.10.(f)**

False swearing with respect to official documents filed with the Institution;

**3.1.4.10.(g)**

Disruption of any teaching, research, administrative, disciplinary, public service or other authorized activity;

**3.1.4.10.(h)**

Such other grounds for dismissal as may be specified in the Statutes of the Institution.

**3.1.4.11.**

Each institution, as a part of its statutes, may supplement Regents' policies governing causes for dismissal and procedures for dismissal. Each institution should provide for standards governing faculty conduct, including sanctions short of dismissal, and procedures for the implementation of such sanctions. In the imposition of sanctions, the burden of proof lies with the institution.

(BR Minutes, 1951-52, pp. 315-19, pp. 159-60; 1966-67, p. 206; 1969-70, pp. 21-22; 1974-75, pp. 304-13; 1982-83, p. 254).

**3.1.5. NOTICE OF EMPLOYMENT AND RESIGNATION\*\***

*\*\*The Policy Manual of the Board of Regents, Second Edition, 1982, Section 803.06.*

**3.1.5.1. Tenured**

All tenured faculty members employed under written contract for the fiscal or academic year of three quarters shall give written notice of their intention to resign to the president of the institution or to his authorized representative, postmarked no later than February 1st, immediately preceding the expiration of the contract period.

**3.1.5.2. Non-tenured**

**3.1.5.2.(a)**

Each year, on or before the dates specified in Regents' Tenure Regulations, the president of an institution or his authorized representative, shall advise, in writing, all non-tenured faculty who have been awarded academic rank (Instructor, Assistant Professor, Associate Professor, Professor) and who are employed under written contract whether an employment contract for the succeeding academic year will be offered to them. Such written notice shall be delivered by hand or by certified mail, to be delivered to the addressee only, with receipt to show to whom and when delivered and the address where delivered.

**3.1.5.2.(b)**

Notice of intention to renew or not to renew a non-tenured faculty member who has been awarded academic rank (Instructor, Assistant Professor, Associate Professor, Professor) shall be furnished, in writing, according to the following schedule:

3.1.5.2.(b)(1) At least three months before the date of termination of an initial one-year contract;

3.1.5.2.(b)(2) At least six months before the date of termination of a second one-year contract; or

3.1.5.2.(b)(3) At least nine months before the date of termination of a contract after two or more years of service in the Institution. This schedule of notification does not apply to persons holding temporary or part-time positions, or persons with courtesy appointments, such as adjunct appointments.



### **3.1.5.2.(c)**

Non-tenured faculty and other non-tenured personnel employed under written contract shall be employed only for the term specified in the contract and subsequent or future employment, if any, shall result solely from a separate offer and acceptance requisite to execution of a new and distinct contract. (BR Minutes, 1964-65, pp. 614-16; 1970-71, pp. 685-87; 1974-75, pp. 304-13; 1980-81, p. 137)

### **3.1.6. PROGRAM MODIFICATION\*\***

*\*\*The Policy Manual of the Board of Regents, Second Edition, 1982, Section 803.0901.*

As part of its broad constitutional authority to manage the University System of Georgia, the Board of Regents may exercise its authority to modify programs offered by the System generally or at various units of the System. Such modification may be a part of a change of institutional mission and may result in discontinuation of programs or reduction in size thereof. A program modification of such magnitude that requires the termination of tenured faculty members will be implemented only after completion of a study, with institutional administrative and faculty participation, by the Chancellor's staff. The Chancellor will report the results of that study to the Board along with recommended guidelines under which program modification will be effected.

(BR Minutes, 1982-83, p. 254)

### **3.1.7. NON-TENURE TRACK PERSONNEL\*\***

*\*\*The Policy Manual of the Board of Regents, Second Edition, 1982, Section 803.10.*

Institutions of the University System are authorized to establish professional positions designated as non-tenure track positions. Each institution shall prepare annually, along with its budget, a list of positions so designated for submission to and approval by the Chancellor. Subsequent requests for such designations submitted during the budget year must also be approved by the Chancellor. Positions designated as non-tenure track positions or as tenure track positions may be converted to the other type only with approval by the Chancellor. Non-tenure track positions may be established for full-time professional personnel employed in administrative positions or to staff research, technical, special, career, and public service programs or programs which are anticipated to have a limited lifespan or which are funded, fully or partially, through non-System sources. There shall be no maximum time limitation for service in positions in this category. The following provisions shall apply to all non-tenure track professional personnel:

#### **3.1.7.1.**

Individuals employed in non-tenure track positions shall not be eligible for consideration for the award of tenure.

#### **3.1.7.2.**

Probationary credit toward tenure shall not be awarded for service in non-tenure track positions.

### **3.1.7.3.**

Notice of intention to renew or not to renew contracts of non-tenure track personnel who have been awarded academic rank (Instructor, Assistant Professor, Associate Professor, Professor) shall follow the schedule required for tenure track personnel. This schedule of notification shall not apply to other professional personnel.

### **3.1.7.4.**

Individuals employed in non-tenure track positions may apply, on an equal basis with other candidates for tenure track positions which may become available. The transfer of individuals from tenure-track positions to non-tenure track positions shall be effected on a voluntary basis only. (BR Minutes, 1982-83, p. 255-256)

### **3.1.8. POST RETIREMENT EMPLOYMENT\*\***

*\*\*The Policy Manual of the Board of Regents, Second Edition, 1982, Section 802.0904.*

When a person has been retired from the University System and is receiving benefits from the Teachers Retirement System or the Employees Retirement System, employment in the University System in any capacity without prior approval of the Board of Regents is prohibited. In no event shall part-time employment be considered if compensation for the part-time service, together with benefits being paid from the Teachers Retirement System (TRS) or the Employees Retirement System (ERS), or the Regents' Retirement Plan exceeds the compensation the individual was earning at the time of retirement. (BR Minutes, 1984-85, p. 208, 1988-89, p. 44; 1990-91, p. 39)

### **3.1.9. FACULTY SUMMER SALARIES\*\***

*\*\*The Policy Manual of the Board of Regents, Second Edition, 1982, Section 803.1403.*

Payment of compensation to faculty members for full-time employment during the summer quarter shall be at a rate not to exceed thirty-three and one-third percent (33 1/3%) of their regular nine months compensation for the previous academic year. (BR Minutes 1950-51, p. 333; 1984-85, p. 80)

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Source: Ad Hoc Faculty Committee to Review the Reappointment, Promotion, and Tenure Processes  
Date: 1997

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## **3.2 PROMOTION AND TENURE OF INSTRUCTIONAL FACULTY AT GEORGIA TECH**

### **3.2.1. PREAMBLE**

This document sets forth guidelines for promotion of instructional faculty and additional criteria to be used in granting of tenure. It is to be emphasized that this document lists criteria intended

only as guidelines and not as a prescription for promotion. The possible factors to be used for evaluation are listed to aid the faculty in their career development, and to be used with, but not substituted for, enlightened judgment on the part of responsible administrators and faculty in providing for the long-term development of Georgia Tech.+ See "Criteria for the Evaluation of Faculty Members as Teachers and Educators," Section 3.2.4.

Promotion and tenure decisions are made separately, and guidelines for evaluation relative to each of these decisions are required. The philosophy underlying the two decisions differs, although the criteria used as a basis for each decision are similar. The performance of a faculty member may justify promotion but not the awarding of tenure. The converse can occur, although it is not likely. Promotion is based on the intrinsic merit of the individual's work. It recognizes the faculty member for meeting the criteria of the next higher level in the professional hierarchy. The decision is based on an evaluation of the individual's scholarly activity including instruction, creativity, and service. The decision to promote or not to promote should not be tied in any way to questions of tenure. Tenure, on the other hand, relates to the individual's value to the Institute. The decision is based on an assessment of the compatibility of the individual's performance and interest with the needs and objectives of the Institute, the college and the individual instructional unit. To be considered for tenure, a faculty member's performance must be judged to be at or above the level appropriate to his or her professional rank. Assuming an appropriate performance level, the individual's professorial activity is evaluated relative to its compatibility with stated objectives.

Each instructional unit should have a set of clearly defined and prioritized objectives defined in accordance with the mission of that unit. The more clearly and specifically the objectives are articulated, the more precisely can an individual's capability and interest be compared to those objectives. The objectives are not static, however; they must be influenced or modified by factors such as changing enrollment patterns, and changes in the unit's and Georgia Tech's mission within the University System of Georgia. Modifications in objectives typically occur gradually, not instantaneously, thus permitting faculty awareness of the changes.

These guidelines for promotion and for the granting of tenure of instructional faculty at Georgia Tech are in full accord with the policies and procedures of the Board of Regents of the University System of Georgia. The Georgia Tech criteria are more demanding than those established by the Regents.

These guidelines are intended to aid the instructional faculty in the conduct of their affairs in order to satisfy the requirements for promotion and/or tenure. They are not, however, a substitute for the advice and counsel of the administrative head of each instructional unit. All faculty members should receive at a minimum an annual administrative review of their progress.

### **3.2.2. GUIDELINES FOR PROMOTION AT GEORGIA TECH**

#### **3.2.2.1. From Instructor to Assistant Professor**

##### **3.2.2.1.(a)**

A doctorate in an appropriate discipline or experience which is of value comparable to the doctorate in preparing the candidate for the role of an educator;

**3.2.2.1.(b)**

Clear evidence of effective teaching;\* and

**3.2.2.1.(c)**

Clear evidence of creativity.\*\*

*\*See "Criteria for the Evaluation of Faculty Members as Teachers and Educators," Section 3.2.4.*

*\*\*See "Criteria for the Evaluation of Creative Activities," Section 3.2.5.*

**3.2.2.2. From Assistant to Associate Professor**

**3.2.2.2.(a)**

Sufficient time in grade. Generally, five or more years in grade are expected. Three years in grade, at least two of them at Georgia Tech, or two years of relevant professional experience plus two years as an Assistant Professor at Georgia Tech are a *minimum* requirement. Credit for previous academic or professional experience should be explicitly stated at the time of employment;

**3.2.2.2.(b)**

A doctorate in an appropriate discipline or experience which is of value comparable to the doctorate in preparing the candidate for the role of an educator;

**3.2.2.2.(c)**

Clear evidence of effective teaching;\*

**3.2.2.2.(d)**

Clear evidence of creativity while at Georgia Tech;\*\* and

**3.2.2.2.(e)**

Clear evidence of contributions to Georgia Tech in meaningful ways by service to the Institute, to the public, or to appropriate professional organizations.\*\*\*

A candidate for promotion to Associate Professor should satisfy the first four of these qualifications. Marginal qualifications in any of these areas might be compensated by strength in the fifth.

*\*See "Criteria for the Evaluation of Faculty Members as Teachers and Educators," Section 3.2.4.*

*\*\*See "Criteria for the Evaluation of Creative Activities," Section 3.2.5.*

*\*\*\*See "Criteria for the Evaluation of Service Activities," Section 3.2.6.*

### **3.2.2.3. From Associate Professor to Professor**

#### **3.2.2.3.(a)**

Sufficient time in grade. Generally, six or more years in rank are expected. Three years at the Associate Professor rank, at least two of them at Georgia Tech, or two years of relevant professional experience plus two years as an Associate Professor at Georgia Tech are considered a *minimum* requirement before promotion. Credit for previous academic or professional experience should be explicitly stated at the time of employment;

#### **3.2.2.3.(b)**

A doctorate in an appropriate discipline or experience which is of value comparable to the doctorate in preparing the candidate for the role of an educator;

#### **3.2.2.3.(c)**

Significant contributions as an educator;\*

#### **3.2.2.3.(d)**

Clear evidence of significant creativity;\*\*

#### **3.2.2.3.(e)**

Evidence that the candidate is making substantial contributions to Georgia Tech by service to the Institute, to the public, or to the profession;\*\*\* and

#### **3.2.2.3.(f)**

Broad recognition in terms of visiting professorships, invitations to give papers or seminars, memberships on national committees, offices in professional societies, or other appropriate honors.

A candidate for promotion to professor should satisfy clearly the first four of these qualifications and should have some demonstrable accomplishments in the last two.

\*See "Criteria for the Evaluation of Faculty Members as Teachers and Educators," Section 3.2.4.

\*\*See "Criteria for the Evaluation of Creative Activities," Section 3.2.5.

\*\*\*See "Criteria for the Evaluation of Service Activities," Section 3.2.6.

### **3.2.3. GUIDELINES FOR TENURE AT GEORGIA TECH**

Only Assistant Professors, Associate Professors and Professors who normally are employed full-time (as defined by Regents' policies) are eligible for tenure. The term "full-time" is used in these tenure regulations to denote service on a 100% work load basis for at least two out of three consecutive academic terms. Tenure may be awarded upon recommendation by the President and approval of the Board of Regents upon completion of a probationary period of at least five years of full-time service at the rank of Assistant Professor or higher.

(See Section 3.1. *et seq.* for *Regents' Policies.*)

In contrast to promotion which is based on an individual's merit, tenure represents the Institution's selection of a faculty for a long-term commitment. Individuals are selected whose performance is outstanding and whose capabilities and interests, as manifested in performance, most closely support the objectives of the Institute, the college and the instructional unit.

For a faculty member to be considered for tenure, the individual's performance must be judged to be at or above the level appropriate to his or her professorial rank. That judgment should be based on the criteria set forth in the "Guidelines for Promotion at Georgia Tech." All dimensions of the performance must be considered, that is teaching, creativity, and service. In appraising a candidate's qualifications for tenure, the weightings of the three categories set forth above may vary with the individual case. It is recognized that the Institute has varied responsibilities and these responsibilities may best be met by a faculty whose members have a varied mix of strengths. Given an appropriate level of performance, the primary criterion for tenure is the compatibility of the individual's performance and interests with the objectives of the unit, the college and the Institute. Statements and supporting documentation from the applicant, the school director/department head and the dean should address this question.

\*See *Faculty Handbook*, Section 6.0., for Faculty Status and Grievance Committee policies and procedures related to promotion and tenure.

#### **3.2.4. CRITERIA FOR THE EVALUATION OF FACULTY MEMBERS AS TEACHERS AND EDUCATORS\***

\*See *Faculty Handbook*, Section 6.0., for Faculty Status and Grievance Committee policies and procedures related to performance evaluation and salary determination.

**Teacher.** Criteria for effective teaching are notoriously difficult to define. One would assume, however, that as a minimum an effective teacher should continue to become more proficient in the subject matter and more efficient in achieving the objective of the courses being taught. An effective teacher should be able, especially, to motivate students to do their best and to respond favorably to the teacher's enthusiasm for the subject.

**Educator.** The concept of educator implies a broad perspective toward higher education that encompasses more than effective teaching. It involves such things as leadership in developing new educational programs, including postgraduate educational programs, attracting graduate students, developing new laboratory experiments, etc.

Listed below (with no attempt to suggest any rank order) are some types of evidence to support performance of a faculty member as teacher and educator.

##### **3.2.4.1. Course and Curriculum Development**

###### **3.2.4.1.(a)**

Development of new courses and laboratory experiences, or new approaches to teaching.

**3.2.4.1.(b)**

Extensive work in curriculum revision or teaching methods for the school or department.

**3.2.4.2. Teaching Skills and Methods**

**3.2.4.2.(a)**

Relative performances of students in the applicant's sections of multi-section courses.

**3.2.4.2.(b)**

Participation in programs, conferences, or workshops designed to improve teaching skills.

**3.2.4.2.(c)**

Awards or other forms of recognition for outstanding teaching.

**3.2.4.2.(d)**

*Systematic* student evaluations, such as exit interviews or other standardized questionnaires. Information such as percentage of students providing data and a copy of evaluation instructions must be provided.\*

\*See "Student Evaluation of Teaching," Section 3.2.8.

**3.2.4.2.(e)**

Demonstrated ability to teach basic courses effectively at the undergraduate and at the graduate level (when appropriate) where such courses are offered in the disciplines.

**3.2.4.2.(f)**

Demonstrated ability to communicate effectively in the classroom environment.

**3.2.4.3. Generation of Textbooks, Instruction Materials, and Publications on Teaching**

**3.2.4.3.(a)**

Publication of books or articles on teaching methods.

**3.2.4.3.(b)**

Publication of new instructional techniques or descriptions of laboratory materials (if not listed under "Creative Activities").

**3.2.4.3.(c)**

Publication of textbooks (if not listed under "Creative Activities").

**3.2.4.3.(d)**

Effective utilization of audio-visual aids and multi-media where appropriate.

**3.2.4.3.(e)**

Expository articles of broad interest exemplifying command of subject, breadth of perspective, etc.

**3.2.4.4. Education Activities**

**3.2.4.4.(a)**

Supervision of independent study courses, honors theses, graduate theses and dissertations, field trips, internships, and practice.

**3.2.4.4.(b)**

Supervision of students who are working in instructional activities, such as lectures, laboratories, recitations, self-paced instruction or tutoring.

**3.2.4.4.(c)**

Specialized teaching for honors students or for other types of special programs.

**3.2.5. CRITERIA FOR THE EVALUATION OF CREATIVE CONTRIBUTIONS**

While difficult to define precisely, creativity is characterized by the making of original and innovative contributions. The nature of the creative work must be appropriate to the individual's discipline. Moreover, it must be shown that significant creative activity has been performed while at Georgia Tech. To provide objective evaluation of creative activities, external peer review normally is required. The review should be based only on the individual's work and should not include opinions regarding promotion or tenure. A brief description of the reviewer, including positions and title, should be included. In general, the quality of such activities is of more importance than the sheer quantity. In cases where the creative work is a joint effort with others, there must be clear evidence that the individual under consideration has taken a leading role in conducting the work.

The creative work may be in a variety of forms. The nature of the material offered and the relative weight assigned to the various types of activity will vary among disciplines. Some examples of creative activities that may be appropriate at this institution are as follows:

**3.2.5.1. Publications**

Research papers in scholarly journals; Literary publications; and Books.

**3.2.5.2. Unpublished Writings and Creative Work of Limited Circulation**

Technical Reports; Engineering and architectural designs; Grant applications; Inventions leading to patents; and Presentations at conferences and meetings.



### **3.2.5.3. Creative Educational Contributions**

Innovative teaching methods; Research in instructional techniques; and Textbooks.

### **3.2.5.4. Artistic Creations**

Paintings; Sculpture; and Music.

### **3.2.5.5. External Recognition of Creative Work**

Prizes and awards; Invited presentations; and Consultancies.

For promotion to the rank of Associate Professor there should be clear evidence that the person has demonstrated an ability to make original and innovative contributions to a chosen field.

For promotion to Professor there should be clear evidence that the person has demonstrated consistent performance in the making of original and innovative contributions that are nationally recognized for their excellence. At all levels, the candidates' creative accomplishments throughout their entire careers should be considered and special attention given to those that occurred at Georgia Tech.

## **3.2.6. CRITERIA FOR THE EVALUATION OF SERVICE ACTIVITIES**

While faculty members usually contribute to the Institute primarily through teaching and creative activities, they also may contribute significantly to the development of Georgia Tech through rendering appropriate types of service to the Institute, to the public, and to the professional organizations to which they belong.

### **3.2.6.1. Continuing Education**

There is a rapidly escalating need for postgraduate continuing education opportunities for persons to deepen, broaden and raise the level of their knowledge and understanding both in their professional field and in general. For this reason, faculty participation in continuing education activities constitutes a service to the public, to professional fields which seek to serve that public, and to the Institute.

### **3.2.6.2. Service to Students**

Service to students includes such activities as: Advising; Career counseling;

Presentation of lectures on special topics; Participation in panel or group Discussions; Directing field trips; Serving as faculty moderator of a student activity; and Engaging in appropriate extra-academic activities with students.

Documentation should include a statement from the school director or department head relative to the academic load of the faculty member, participation in pre-registration and registration duties, as well as comments on the quality of those activities stated above.

### **3.2.6.3. Service to the Academic Community**

Presenting lectures; Participating in seminars; Developing research proposals with other faculty members; Serving on committees, study groups and task forces; and Lending one's professional expertise to other faculty members for their benefit. The quality of the member's participation in such activities should be documented.

### **3.2.6.4. Service to the Institute**

Significant service to the offices of the Institute, such as Institute Relations and Development, the Alumni Association, the Athletic Board, the YMCA, Executive Round Table, Faculty Club, Education Extension teaching, special student services, recruitment and similar activities; and Serving on various Institute committees. Documentation of these activities should include statements regarding the frequency of meetings, records of attendance, offices held, contributions to special reports, and so on.

### **3.2.6.5. Availability for Service Activities**

Maintaining regular office hours; and Expressing willingness to serve whenever opportunities are available. Documentation should include a statement from the school director or department head.

### **3.2.6.6. Service to the Profession**

Membership in professional organizations; Attendance at professional meetings and conferences; Organizing professional meetings; Serving as a discussant of papers read by others at professional meetings or being a panel member at such meetings; Holding office in professional organizations; Contributing consultative, advisory, editorial service in a professional capacity; and Serving as site visitor for accreditation review. Documentation should include appropriate records, awards or other forms of recognition.

### **3.2.6.7. Service to the Community**

Community Service involves a wide range of activities directed toward local, state or national groups. Examples of such service include: Lectures; Panel Discussions; Radio and television appearances; Membership on advisory boards or civic committees; Involvement in community, charitable organizations, or the government; Involvement in youth and citizen recreation programs; and

Advising students or judging the entries at science fairs. Appropriate documentation of these activities should be included. For persons being considered for promotion to Associate Professor, the rendering of service in any of these categories is appropriate. For persons being considered for promotion to the rank of Professor, participation in service activities is required, and some form of leadership activity is expected.

## **3.2.7. GUIDELINES FOR THE PRESENTATION OF MATERIALS FOR EVALUATION**

It is appropriate that each set of documents prepared by a department be preceded by letters of transmittal from the head of that department, and from the Committee referenced in Section

3.3.3.2.(a), and the Peer Review Committee of that department. These will include comments of how a candidate meets the required qualifications for each separate point of the promotion guidelines (listed in Section 3.0.). These comments should be brief and highlight the more significant contributions in each area. The presentation should be written so that the merits of the case are fully apparent to persons who may not be familiar with the discipline of the individual under consideration. Comparison of the relative merits of multiple candidates from within the department are encouraged.

The letter of transmittal should be followed by a complete Biographical Sketch or Curriculum Vitae detailing the relevant career activities of the individual. This may be prepared by the candidate. Finally, the dossier may include further relevant documentation such as letters of evaluation, student evaluations and (if unavoidable) copies of unpublished creative work.

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Source: Ad Hoc Faculty Committee to Review the Reappointment, Promotion, and Tenure Processes  
Date: 1989

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### **3.2.8. STUDENT OPINION OF COURSES AND INSTRUCTORS**

To provide instructors with information about student opinions of their teaching and courses, the Institute has developed the Course/Instructor Opinion Survey (CIOS). It consists of items relating to three "clusters": preparation and presentation of the course, interaction with students, and assessment of student performance. Students respond using a five-point rating scale. Provision is also made for written comments from the students.

For each course surveyed, the instructor is provided a confidential, computerized summary report and the answer sheets containing the students' written comments.

Directors and/or department heads receive the responses to the demographic and environmental items, the Institute-core items, and those supplied by the respective departments; however, they receive neither the responses to any additional (up to seven) items instructors may have elected to include, nor the written comments. Students receive the responses to an additional pair of questions designed for their use in producing the "Course Critique." Unless a professor refuses permission, students also receive the cluster averages and the "overall item" score for inclusion in the Course Critique.

The results of the CIOS serve as one component of an overall assessment system for documenting teaching proficiency. The survey, processed by the Center for the Enhancement of Teaching and Learning under the auspices of the Provost, is administered in each school or college on a systematic basis one semester each year. In addition, any department, school, college, or individual may request to participate in any other semester, and, in fact, most schools do every semester.

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Source: Center for the Enhancement of Teaching and Learning  
Date: 6/99

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### **3.3. PROCEDURES FOR EVALUATION, REAPPOINTMENT, NON-REAPPOINTMENT, TENURE, AND PROMOTION**

Policies of the Board of Regents require that the President of each institution of the University System recommend to the Board of Regents, through the Chancellor, the initial appointment of faculty members and administrative employees of each institution, the salary of each, and all promotion and tenure awards. The general procedures that Georgia Tech described below may be modified slightly at the individual unit level.

Ordinarily, all recommendations for appointment, renewal, promotion and tenure originate in the individual instructional unit and proceed through the channels described as follows. In the College of Engineering, the College of Sciences, and the Ivan Allen, Jr. College, some procedures may involve five levels and eight decision-making units; in the Colleges of Architecture and Computing, some procedures may involve four levels and six decision-making units.

#### **3.3.1. REGENTS' REQUIREMENTS FOR EVALUATION**

The Regents policies require that each faculty member receive an annual, written review by their unit head. In addition, the faculty member will discuss this review with the unit head and will sign a statement to the effect that the faculty member has received the written review. The faculty member will have the opportunity to respond, in writing, to the evaluation and to receive a written response from the supervisor to the comments of the faculty member. Both the faculty member's comments and the response will then become part of the record.

#### **3.3.2. REAPPOINTMENTS**

##### **3.3.2.1. Regents' Requirements for Notification**

Regents policies specify that each faculty member undergo a reappointment process which satisfies the following criteria:

##### **3.3.2.1.(a)**

During the first year of appointment each faculty member shall receive, at least three months prior to the start of the next academic year, an indication of the Institute's intention regarding offering the faculty member an appointment for the forthcoming year.

##### **3.3.2.1.(b)**

Six months prior to the start of the academic year, individual faculty in their second year will be informed to the Institute's decision with respect to an appointment for the third year.

##### **3.3.2.1.(c)**

In all succeeding years, a non-tenured faculty member shall receive notice of the Institute's intention regarding subsequent reappointments at least nine months in advance.

### **3.3.2.2. Georgia Tech Procedures on Reappointment**

#### **3.3.2.2.(a)**

For the first three reappointment cycles, the unit head(s) shall review the credentials and work of the individual faculty member and make a recommendation regarding reappointment. If the recommendation is positive, the dean(s) (where not the unit head) shall review the recommendation and documentation. If the Dean's recommendation is positive, then the president shall review the recommendations and make a decision.

#### **3.3.2.2.(b)**

In the event that any of these decisions is not to reappoint, the appropriate unit committee, the College Committee (where appropriate) and the Provost's Advisory Committee shall be convened and a complete review by all committees shall be conducted and forwarded to the President.

#### **3.3.2.2.(c)**

It is expected that this process will be completed at the unit level in time to coincide with the annual review process and the recommendation of salary increases. Each unit will publish, no later than June 1, the schedule for the reappointment, promotion, and tenure process for the following academic year.

#### **3.3.2.2.(d)**

For joint appointments, this process shall be modified so that the committee established shall include individuals from units where the faculty member holds appointments as well as all unit heads involved.

#### **3.3.2.2.(e)**

In the spring of the third year, a complete review of the faculty member's credentials and intellectual contributions shall be conducted by the appropriate committee at the unit level (or in the case of a joint appointment, the appropriate joint committee), the unit head(s), the Dean's Committee and the Dean (in those units having organizational elements such as schools or departments), and then by the Provost's Committee. Each recommendation will specify one of four outcomes:

- 'Reappointment;'
- 'Reappointment with counseling,' which implies that academic performance, in most respects, is positive and appropriate, but that some 'mid-course corrections' are needed prior to the tenure decision;
- 'Reappointment with warning,' which implies that as the candidate moves toward the tenure decision, some substantial adjustments must be made in the academic performance if the outcome of that decision is to be positive; or
- 'Non-reappointment,' which means that the candidate should expect no contract to offered beyond the following academic year.

All these recommendations shall be forwarded to the President who shall make the decision and then inform the appropriate individuals. This review should coincide with the annual salary review at the unit level. A complete review may be conducted during the fifth year at the request of the candidate.

**3.3.2.2.(f)**

If the critical review at the end of the third year results in a positive reappointment decision, the fourth and fifth year review will be processed in the same way that the initial reappointment reviews are conducted. If the decision is 'reappoint with warning' then the fifth year review process will be the same as the third year review. Similarly, if the fourth year decision is 'reappoint with warning' then the fifth year review process will be the same as the third year review.

**3.3.2.2.(g)**

The committee appointed to review the faculty member's contribution will avail itself of the opportunity to review carefully the materials submitted by the individual and to comment in detail on the intellectual products of the candidate. Because this committee will be comprised of individuals who are knowledgeable in the field, the committee will have the responsibility of placing the candidate's contributions in context and to comment on the importance of the work. The unit head(s) should also obtain input from other faculty members in the unit regarding the candidate's contribution to teaching and service. This may include a unit-wide committee to ensure consistency across the unit among all candidates under review.

**3.3.2.2.(h)**

In the event that the Faculty member's service is interrupted by a leave of absence, then that particular year of absence or extension shall not be counted as contributing to the service periods stated in any of the above procedures. In any year of absence or extension, the Faculty member will be reviewed according to regular procedures, except that if a critical review would be called for under the terms of section 3.3.2.2(f), that review shall be postponed until the next normal year of service.

**3.3.2.3. Feedback to Faculty Members**

It is important for the faculty member to receive feedback regarding the assessments involved. The appropriate place for the individual faculty member to receive this feedback is from the unit head(s). The unit head shall receive a copy of the recommendations prepared by each committee and by all other administrators with direct responsibility for reviewing the candidate, including the Dean (for those units where the Dean does not serve as the unit head), the Provost, and the President. The unit head shall review each recommendation, including his/her own, with the candidate, and counsel the candidate appropriately.

### **3.3.3. PROMOTION AND TENURE**

#### **3.3.3.1. External Peer Review**

Letters of recommendations from appropriate individuals outside the Institute must be obtained for any decisions related to tenure or promotion. The individuals from whom letters are sought should be clear leaders in the field. Along with the letters, brief biographical sketches of these individuals should be included in the materials submitted for consideration as well as the letters received.

The list of individuals from whom letters are to be obtained should be developed jointly by the candidates for promotion and/or tenure and the unit head(s). The final decision regarding who shall be selected to provide recommendations from the list shall rest with the unit head(s) and the faculty committee. It is appropriate to use the same letter for two consecutive years of the process.

#### **3.3.3.2. Internal Peer Review**

##### **3.3.3.2.(a)**

In all succeeding years, a non-tenured faculty member shall receive notice of the Institute's intention regarding subsequent reappointments at least nine months in advance. Candidates shall have the opportunity to suggest to the unit head(s) the names of individuals who would be appropriate members of the review committee.

##### **3.3.3.2.(b)**

For joint appointments, input should be obtained from the faculty of both units. In the event that the individual units do not have appropriate expertise relating to the candidate's specific creative contributions, the committee may include individuals who are not members of the Georgia Tech faculty.

#### **3.3.3.3. Expanded Peer Review**

A unit-wide committee may be appropriate in large units with a number of sub-disciplines to provide some consistency across units and to comment on the teaching and service contributions of the candidate.

#### **3.3.3.4. Candidate's Responsibility**

##### **3.3.3.4.(a)**

The candidate has the responsibility to prepare and review the documentation that is submitted, except for evaluation letters. When this documentation is complete, and in the proper format, the candidate will sign a statement that it is both accurate and complete.

#### **3.3.3.4.(b)**

Should the candidate fail to meet the deadlines established by the unit for submission of the required documentation, consideration of promotion and/or tenure may be delayed until the following year. However, if such a delay would have the effect of violating the maximum time of employment for an untenured faculty member, the faculty member will receive a letter of non-reappointment.

#### **3.3.3.5. Format**

It is important that all candidates follow as closely as possible the same format in preparing the documentation for changing status, although some flexibility should be allowed. The candidates may choose to write a brief summary (not to exceed three pages) of their major accomplishments at Georgia Tech. The candidates also are required to submit evidence of three to five examples of their relevant, creative capabilities. These may include published papers, books, software, patents, art productions, or other relevant examples.

#### **3.3.3.6. Joint Appointments**

Joint appointments should involve budgetary activity in each unit. Normally, this would involve teaching and/or research activity. A budgetary commitment to the individual must be involved.

Each faculty member should have a home unit which has responsibility for the administrative activity for each individual who holds a joint appointment.

Promotion, tenure, and reappointment decisions should involve all affected units. A committee drawn from appropriate individuals of each unit shall be established to provide recommendations. In the event that individual units do not have appropriate expertise related to the candidate's specific creative contributions, a special committee shall be constituted and may include individuals who are not members of the Georgia Tech faculty. All unit heads involved jointly shall provide recommendations. These recommendations will then be passed along to the next level(s) as appropriate.

#### **3.3.3.7. Joint Academic/GTRI/Center Appointments**

##### **3.3.3.7.(a)**

Instances may arise where it is desirable for an academic faculty member to be jointly appointed in an academic unit and in a division of GTRI or a Center. Where such an appointment contributes to the development of the faculty member, such arrangements are to be encouraged. The benefit of such an arrangement normally will be enhancement of the faculty member's research productivity. Decisions of academic units will be based on their own criteria, however, letters of evaluation from appropriate GTRI division head and/or center directors must be included in the documentation of these candidates. Appropriate individuals from GTRI or OIP normally will be included in the unit level (committees appointed to make the initial recommendation).



### **3.3.3.7.(b)**

Instances may arise where it is appropriate where GTRI or center-based researcher to have a joint appointment in an academic unit. Such arrangements are to be encouraged where they work to the advantage of all parties concerned. Heads of the academic units will be expected to supply letters of evaluation for all promotion/salary decisions. Tenure is not awarded to persons whose home unit is in GTRI or a Center.

### **3.3.3.8. The Provost and Vice President's Advisory Committee**

The five college Deans, the Provost and Vice President for Academic Affairs, and senior members of the faculty representing the colleges, comprise the advisory committee. The Vice Provost for Academic Affairs and Dean of the Graduate School may participate in the discussions of the committee but do not vote. Similarly, the college Deans participate in the discussion but do not vote on the candidates from their colleges nor do representatives from a specific unit (such as Physics) vote on faculty members from that unit. Normally, the Vice Provost for Academic Affairs chairs the meetings. The Committee forwards all dossiers, along with its recommendations to the Provost and Vice President for Academic Affairs.

### **3.3.3.9. Provost and Vice President for Academic Affairs**

The Provost and Vice President for Academic Affairs considers all information that has been compiled, transmits the complete dossier along with his/her recommendations to the President, and then notifies the college Deans of the recommendations involving faculty within their respective colleges.

### **3.3.3.10. President of the Institute**

The President forwards his/her recommendations, along with appropriate documentation, to the Board of Regents and also notifies each faculty member by letter.

### **3.3.3.11. The Board of Regents**

All changes in status, such as promotion and tenure are awarded by the Board of Regents. The President notifies each faculty of the Board's decisions.

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Source: Ad Hoc Faculty Committee to Review the Reappointment, Promotion, and Tenure Processes  
Date: 1989

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## **3.4. POLICY ON SALARY DETERMINATION FOR FULL-TIME INSTRUCTIONAL FACULTY\***

Consistent with the policy of the Board of Regents on nondiscrimination and in keeping with the Institute's commitment, no person will be discriminated against on the basis of race, color, gender, national origin, religious belief, age, or presence of a non-job-related handicap in any salary decision.

To sustain its leadership position in the national academic community and to meet its commitment to serve the technical education needs of the State of Georgia, Georgia Tech must recruit and retain a faculty of recognized excellence. Because of the complexity of the Institute, individual academic units may have unique missions within the overall Institute mission. The following statements, therefore, are intended to provide a framework within which individual units develop specific criteria appropriate for their discipline.

### **3.4.1. ENTRY LEVEL SALARY**

The salary level associated with each faculty position shall be based upon the requirements of the position and the qualifications of the individual employed to fill the position. The qualifications of the individual shall include academic degrees earned, teaching and other relevant experience, research and publication records, academic achievements and honors, and relevant professional achievements and recognition.

In addition to personal qualifications, consideration will be given to "marketplace" factors such as availability (supply and demand) of qualified individuals, salaries offered by competitors (industry and other academic institutions) for individuals, and the intensity of our need for these individuals.

Salary data collected on national, regional and local bases, as appropriate, will be used in establishing entry salary levels.

### **3.4.2. MERIT INCREASES**

Merit increases for full-time instructional faculty shall be based on an evaluation of job assignment and overall productivity. All dimensions of the professorial role shall be considered, although weights assigned may vary across disciplines and even within a discipline, depending on the job assignment of the individual and on the needs of the unit. In evaluating a faculty member's performance, careful consideration will be given to the quality of the individual's contributions in instruction (classroom-related and individual supervision), research or other creative activities, and service (to students, the academic community, the Institute, the discipline, and the external community).

### **3.4.3. DOCUMENTATION**

In determining entry level salary as well as merit increases, appropriate documentation in support of quality of performance is required. The following is illustrative:

**Instruction:** The quality of instructional performance should be evaluated by peers, students, department heads/school directors. Student evaluation should be ascertained on a systematic basis.

Contribution to curriculum development, such as the development of new courses or new laboratory experiences, should be evaluated by the school director/department head.

The number of independent study courses, theses, dissertations, etc., supervised. Quality should be evaluated by peers and the school director/department head.

**Creativity:** The number and brief description of research grants applied for and funded; publications in scholarly journals; and presentations at conferences and workshops. The quality of these contributions should be evaluated by recognized leaders in the field.

Professional honors and awards as well as invited addresses speak to the quality of the contribution. Innovative instructional techniques can be evaluated by peers, students, and school directors/department heads.

**Service:** The quality of service to *students*, such as academic advising, directing field trips, etc., should be evaluated by students, peers, and school directors/department heads.

Service to the *academic community* might take the form of presenting lectures or seminars or serving on various types of committees. Appropriate documentation might be letters from those persons responsible for the activities.

Service to the *Institute* might involve such things as working on programs with Communications and Development or alumni organizations, or serving on various Institute committees. Appropriate documentation about quality of service might take the form of letters from the persons responsible for these activities or the chairs of the committees.

Contributions to the *profession or discipline* might take a number of forms: serving in leadership positions, participating in symposia or serving on panels, or editing professional journals. Appropriate letters regarding the quality of contributions would be expected.

Evaluation of quality of service to the *community* might be ascertained from letters from appropriate individuals. The service might take the form of presenting lectures, participating in panel discussions, appearing on appropriate radio and television programs, or judging science fairs.

\*See *Faculty Handbook*, Section 6.0., for Faculty Status and Grievance Committee policies and procedures related to performance evaluation and salary determination.

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Source: Faculty Status and Grievance Committee  
Date: 5/95

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## **3.5. ACADEMIC RANK FOR ADMINISTRATORS**

### **3.5.1. POLICY**

An administrator may be awarded academic rank (tenure or non-tenure track) upon review of his/her credentials and recommendation of academic rank, in accordance with the established statutory procedures required for academic appointment.

### **3.5.2. PROCEDURES**

#### **3.5.2.1.**

Administrators who normally may receive consideration for academic rank, either tenure or non-tenure track, are: President, Provost and Vice President for Academic Affairs, Vice Provost for Research, Associate or Assistant Vice President for Academic Affairs, Associate or Assistant Vice Provost for Research, Dean, Associate or Assistant Dean, Director or Department Head of an instructional unit, and Associate or Assistant Director of an instructional unit.

#### **3.5.2.2.**

The academic and scholastic credentials of the administrator or administrator-candidate shall be prepared in the same form required of all academic faculty being considered for an academic appointment.

#### **3.5.2.3.**

At the time the administrator or the administrator-candidate is being considered for academic rank, his/her academic and scholastic credentials shall be submitted to the school or department of association. The credentials shall be reviewed first by the established promotion and tenure peer review committee. The currently required procedures for review of academic faculty being considered for an academic appointment shall be followed at all levels of review.

#### **3.5.2.4.**

When an administrator who currently holds academic rank is to be considered for promotion to a higher academic rank, his/her academic and scholastic credentials shall be prepared in the same form required of all academic faculty. These credentials shall be submitted to the established school or department promotion and tenure peer review faculty committee. The currently required procedures for review of academic faculty being considered for academic promotion shall be followed at all levels of review.

#### **3.5.2.5.**

When an administrator who currently holds academic rank, non-tenure track, leaves his/her administrative position and requests a tenure track appointment in an instructional unit, his/her academic and scholastic credentials shall be submitted to the school or department, which shall follow the currently required procedures for appointment.

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Source: Faculty Status and Grievance Committee  
Date: 8/96

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## 3.6. HIRING AND PROMOTION GUIDELINES FOR PROFESSIONAL RESEARCH PERSONNEL

### 3.6.1. GENERAL

Professional research personnel are members of the General Faculty; they are not, however, members of the Academic Senate, nor are they eligible for tenure. While research personnel are subject to many of the general hiring and promotion criteria for instructional faculty, there are significant differences.

The four counterpart ranks for instructional and research members of the General Faculty are as indicated below.

<i>Instructional Faculty</i>	<i>Research Faculty</i>
Instructor	Research Scientist I
Assistant Professor	Research Scientist II
Associate Professor	Senior Research Scientist
Professor	Principal Research Scientist

*Note:* The term "Scientist" is used to indicate the appropriate designation--Engineer, Scientist, Technologist, or Associate.

### 3.6.2. PROMOTION TO A HIGHER RANK

Following are NORMAL requirements for CONSIDERATION for promotion to a higher rank. These experience and performance criteria may also be used for determining the initial rank when hiring professional research personnel. Credit for previous academic or research professional experience should be explicitly stated in writing at the time of employment. In addition to these criteria, to be considered for promotion will normally require a number of years in rank, as follows:

#### **Promotion To:**

**Research Scientist II - Three years as Research Scientist I**

**Senior Research Scientist - Four years as Research Scientist II**

**Principal Research Scientist - Five years as Senior Research Scientist**

As used in this document, "years of experience," "years in rank," and "years at Georgia Tech" are to be as of June 30th of the year in which the promotion is being considered. The word "Scientist" is used throughout these guidelines to mean either Engineer, Scientist, Associate, or Technologist.

Requirements for professional registration and other legal or professional certification are not identified in these revised guidelines as prerequisites for promotion. Instead, these formal evidences of competency are expected to be provided by persons assigned to duties that require them. For example, engineers carrying out responsibilities as listed in Code Table 84 of the Code of Georgia must possess a current certificate of registration as a Professional Engineer as issued by the State Board of Regulation for Professional Engineers and Land Surveyors. All engineers

are encouraged to obtain this registration. Other professional registration or certification is similarly encouraged, e.g., Certified Industrial Developer, Certified Safety Professional, etc.

### **3.6.3. RESEARCH SCIENTIST I**

This is the initial rank held by research personnel who have as a minimum educational credential a bachelor's degree and who will be performing on a professional level. An advanced degree in a relevant field is required for promotion above this initial rank.

### **3.6.4. RESEARCH SCIENTIST II**

#### **3.6.4.1.**

This rank requires a Master's degree and three years' relevant full-time experience after **completion of the degree**, or a Doctor's degree. Qualified candidates who are recommended by the normal administrative process will not be reviewed by a presidential committee. Professional recognition in one's research field will be expected.

#### **3.6.4.2.**

In addition to the candidate's education and experience requirements, the promotion recommendation will reflect substantive evidence of the candidate's progress toward developing the capabilities for performing at the level expected of research professionals in the same field holding senior research staff ranks at Georgia Tech. Such evidence might consist of papers published or contributed to, significant managerial efforts on sponsored projects, or equivalent teaching responsibilities performed in an instructional unit.

### **3.6.5. SENIOR RESEARCH SCIENTIST**

#### **3.6.5.1.**

This rank requires a Master's degree and seven years' relevant experience **after completion of the degree** or a Doctor's degree and four years' relevant full-time experience. The rank of Senior Research Scientist is reserved for those professionals who have demonstrated a level of scholarly achievement and technical, managerial and entrepreneurial productivity commensurate with the highest standards of Georgia Tech. For this rank, demonstrated achievements should include recognized contributions to their specific technical disciplines, supervision of other research professionals through review and approval of proposals, technical reports and other communications, and representation of Georgia Tech to external organizations for the purpose of obtaining, managing, and performing high quality sponsored research programs. Preference will be shown for those qualified personnel holding a Doctoral degree in their specified discipline.

#### **3.6.5.2.**

In addition to the requirements in item Section 3.6.5.1., demonstrated superior performance of professional duties is required in 3.6.5.2(a) below and at least two of the other four areas.

**3.6.5.2.(a)**

Mastery of a complex and difficult field of specialization as demonstrated through authorship of refereed papers.+

*Note:* +While emphasis will be given to authorship of journal and symposium papers which have been refereed, recognition will also be given to contributions to other journals, organizational publications, widely distributed reports which effect an education and technology information transfer.

**3.6.5.2.(b)**

Supervision of others' work by virtue of being a project director on sponsored research of such magnitude as to require guidance and supervision of other professionals.

**3.6.5.2.(c)**

Important technical contributions and innovation as documented in formal reports of several projects over a minimum time of four years prior to recommendation for promotion. For candidates holding the Doctoral degree, the last two years of employment prior to employment at Georgia Tech will be considered if adequately documented, and the four-year time in grade requirement be reduced to two years for candidates so qualified.

**3.6.5.2.(d)**

Substantial documented contributions in sponsored program development.

**3.6.5.2.(e)**

Superior ability in representing the School/Center Laboratory/Georgia Tech in service to and dealings with outside organizations.

**3.6.6. PRINCIPAL RESEARCH SCIENTIST**

**3.6.6.1.**

This rank requires a minimum of a Master's degree and eleven years' relevant full-time experience, or a Doctor's degree and seven years' relevant full-time experience. At least the most recent three years of such experience shall have been at a responsible technical or managerial level. Preference will be shown for qualified personnel holding a Doctor's degree in their specific discipline.

**3.6.6.2.**

In addition to the requirements in Section 3.6.6.1., the candidate must have made *substantial and sustained documented technical contributions* in Section 3.6.6.2(a) and have demonstrated outstanding capabilities in at least two of Sections 3.6.6.2(b) through 3.6.6.2(d) of research or service activity:

**3.6.6.2.(a)**

Clear evidence that the candidate has demonstrated consistent performance in the making of original and innovative contributions that are nationally recognized for their excellence as documented by external peer review of the candidate's work (see Section 3.6.6.3. below);

**3.6.6.2.(b)**

Leadership in developing and managing a technical thrust involving related projects. Special consideration to be given to programs involving a broad participation by research and instructional faculty and students;

**3.6.6.2.(c)**

Substantial contributions to Georgia Tech by service to the Institute, the State, to the Nation, or to the candidate's profession;

**3.6.6.2.(d)**

Broad recognition of technical stature as evidenced by invited papers or seminars, session chairperson at national symposia, memberships on national committees, offices in professional societies, or other appropriate honors.

**3.6.6.3.**

At least three letters of evaluation must be obtained *by the Institute* from highly qualified persons in the candidate's professional field who are not employed by the Georgia Institute of Technology.

**3.6.7. RESEARCH ASSOCIATE RANKS**

There are ranks held by research personnel who meet all normal requirements, but for whom the title of Engineer, Scientist, or Technologist is not appropriate. They are intended for professional staff for whom a specific need exists, but because of the different nature of their education or experience, should not be classified (at least initially) in the Research Engineer/Scientist/Technologist structures. In determining when it will be suitable to use the Research Associate title structure, reliance will be placed on comparison with the established criteria for Research Engineer/Scientist/Technologist. That is, the qualifications for Research Associate should have an equivalency to Research Engineer/Scientist/Technologist, but will differ in some particular aspect. In general, it will offer more flexibility in considering the candidate's total qualifications and suitability for employment at Georgia Tech. The title is intended to be broad enough in scope to include any professional categories appropriate to our needs. Examples include medical doctors, humanists, architects, and management experts.

**3.6.8. RESEARCH TECHNOLOGIST RANKS**

These ranks are less well established but are of increasing importance to the conduct of research. On an individual basis exceptions to some of the normal standards for scientists and engineers will be considered.



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Source: Office of the Vice President for Research and Graduate Programs  
Date: 8/96

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## **3.7. POST TENURE REVIEW POLICY**

### **3.7.1. PURPOSE**

Post-tenure reviews are aimed at facilitating faculty development, and ensuring intellectual vitality and competent levels of performance by all faculty throughout their professional careers. In both regards, the goal is to maximize the talents of tenured faculty within the broad array needed for effective performance of the units and the Institute.

Post-tenure reviews are both retrospective and prospective, inasmuch as they recognize past contributions and provide the means for continuous intellectual and professional growth. It is recognized that, within the traditional mix of professional activities, different emphases may be appropriate at different stages in a faculty member's career. As a faculty development tool, the review aims to assist a tenured faculty member in formulating a multi-year plan of professional growth and activity in teaching, research, and service based on his or her interests and the needs and mission of the unit and the Institute. To assure professional competence, the review aims to assess the tenured faculty member's effectiveness in teaching, research, and service over a multi-year period. Assessment of professional activities over a relatively long time span encourages faculty members to undertake projects and initiatives that do not readily lend themselves to annual evaluation.

The Georgia Institute of Technology recognizes that the granting of tenure for university faculty is an important protection of free inquiry and open intellectual debate. This post-tenure review policy defines a system of periodic peer evaluation of all tenured faculty which is intended to enhance and protect the guarantees of tenure and academic freedom. It is recognized that post-tenure reviews are most appropriately conducted by a committee of faculty peers.

### **3.7.2. PROCEDURE**

All tenured faculty, including administrators, shall undergo a post-tenure review at least once every five years. Any promotion review of a tenured faculty member handled by the Institute's Promotion and Tenure (P&T) Committee will be considered as equivalent to a scheduled post-tenure review. A faculty member who has offered a letter of resignation or retirement effective within three years of the scheduled post-tenure review should be exempted from the review. Administrators at the level of unit chair and above, for whom a separate periodic review policy is in place, are not covered by this procedure.

#### **3.7.2.1. Timing of Initial Reviews**

The initial reviews of all tenured faculty will take place during the first 5 years after initiation of the post-tenure review process (1997-98 Academic year). The specific timing for each individual's review will depend on the time of the last successful review handled by the Institute's P&T committee. Specifically, for faculty whose last successful reviews were conducted in a year

ending with a 3 or an 8, the initial reviews were held in the 1997-98 academic year. For those whose last successful review was conducted in a year ending with a 4 or 9, the initial review will take place in 1998-99; for those whose last successful review was in a year ending with a 5 or 0, the initial review will take place in 1999-2000; for those whose last successful review was in a year ending with a 6 or 1, the initial review will take place in 2000-2001; and, finally, for those whose last successful review was in a year ending with a 7 or 2, the initial review will take place in 2001-2002.

This process is age-independent; it may, however, cause an imbalance in the distribution of initial reviews especially in smaller units. To eliminate such imbalance, a unit is permitted to delay some initial reviews, with priority given to those whose last review occurred most recently, and/or conduct early reviews, with priority given to those whose last review was furthest from the present time. Exceptions to this initial ordering will be allowed for special circumstances, upon agreement between the faculty member and the unit head. For example, a faculty member who has recently been appointed as an associate chair might prefer to postpone the review so that it can include performance in that position.

Early in the first year of the post-tenure review process, unit chairs, in conjunction with the unit's steering or advisory committee, will prepare a 5-year schedule of initial reviews. Faculty must be informed of their position on the schedule and be given an opportunity to request a different position if there are special circumstances.

### **3.7.2.2. Evaluation Criteria:**

The default criteria for post-tenure review are those used by the individual's unit for promotion and tenure. Alternative criteria, however, may be applied to reflect the varying emphases and roles that senior faculty may play within a research university. Responsibility for formulating individualized alternative criteria for the post-tenure review lies with the unit head, based on consultation with the faculty member.

Any understanding regarding individualized alternative criteria for evaluation must be reached and confirmed in writing at least one year prior to the review (except in the first and second years of the process where it only will be possible to provide a lead-time of 6 months). Such an agreement would be necessary, for example, for faculty being evaluated almost exclusively for teaching, research or service contributions.

In cases where no such agreement regarding criteria can be reached between the faculty member and unit head, the faculty member may request a hearing from a committee of the unit. It is the responsibility of the unit to specify the composition of such a committee. For example, the unit may choose its promotion and tenure committee, steering or advisory committee, or an ad hoc committee. The decisions of this committee are final.

### **3.7.3.3. Documentation:**

In accordance with Board of Regents' guidelines, the following documentation will be included in the post-tenure review of each faculty member:

- a copy of any approved individualized evaluation criteria,
- a current vita,

- a one-to-three page statement detailing accomplishments and goals provided by the faculty member,
- reviews of the faculty member's teaching effectiveness, such as student evaluations,
- summaries of the annual performance reviews, including any associated faculty rebuttals, for the years under consideration, as prepared by the unit head and reviewed by the faculty member,
- an overall written review and assessment by the unit head of the faculty member's teaching, research, and service.

#### **3.7.2.4. Possible Review Outcomes**

Review outcomes will include a decision that the next review occur after either 5 years or 3 years. Reviewees identified by the review committee as having major and chronic deficiencies will be recommended for a three-year review. The unit-level committee (see Section 3.7.2.5.(b) below) must clearly elucidate the basis for the decision, and, in the case of a 3-year decision, must provide detailed guidance on the improvements required for positive future reviews.

#### **3.7.2.5. Review Committees:**

##### **3.7.2.5.(a) Unit-Level Review Committee**

The unit-level review is to be conducted by a committee of tenured, non-administrative, academic faculty of the unit in which the faculty member has a primary appointment. The committee should consist of at least three members. It is the responsibility of the unit to specify the composition of the review committee(s). For example, the unit may choose its promotion and tenure committee, steering or advisory committee, or an ad hoc committee. The unit may have a single committee for all candidates in a given year, or several committees may be used. However this (these) committee(s) must be approved by a vote of the unit's faculty.

For faculty with joint appointments involving a budgetary commitment from more than one unit, committee members representing the secondary unit(s) will be included. The primary unit will have a majority of committee members.

Faculty members to be reviewed can provide input regarding the composition of their unit-level review committee. Specifically, the faculty member can remove one member of the committee; in such cases, the faculty member should provide a list of at least three tenured faculty of the unit from which a replacement is to be selected by the remaining committee members.

##### **3.7.2.5.(b) Unit Level Reviews**

The unit-level review committee shall examine the documentation described in Section 3.7.2.3 above. The committee will prepare a written report assessing the candidate's performance based on the evaluation criteria described above, including any approved individualized criteria. The committee's report shall include a narrative text containing commendation for positive performance, a critique of substandard performance, recommendations for corrective actions, if any, an overall evaluation score as described in 3.7.2.4 above, and a record of the committee's

vote. In the case of Associate Professors, the report will include guidance on activities which would enhance prospects for a successful promotion review.

### **3.7.2.5.(c) Unit Level Communication of Outcome**

The report of the unit-level review committee, along with all supporting documentation including the unit-chair's assessment (see Section 3.7.2.3 above), shall be transmitted to the Institute-level oversight committee (see Section 3.7.2.5.(d) below); copies shall be provided to the unit chair and dean.

### **3.7.2.5.(d) Institute Oversight Committee**

An Institute-level post-tenure review committee (Institute Oversight Committee, IOC) shall be annually established. The committee shall consist of thirteen (13) members selected as follows: (i) Deans of the six (6) colleges, and (ii) seven(7), tenured, non-administrative, academic faculty members to be named by the Institute's Executive Board. Two members shall be from the College of Engineering and one member shall be from each of the other five Colleges. The Provost shall serve as an ex officio member of the IOC. The committee shall elect a Chair from the seven faculty members named by the Executive Board.

### **3.7.2.5.(e) Institute Level Reviews**

The IOC shall review all recommendations made by the unit-level committees. Based on such reviews, the committee shall perform the following functions: (i) prepare a written assessment of the process and criteria used by each unit; the aim of such assessments is to improve quality and ensure consistency across the various units and colleges in future years, (ii) prepare a list of faculty members who should be recognized and rewarded for their achievements, and (iii) review cases where the unit-level committees' assessments are at variance with the assessments made by the respective unit chairs; for each such case, a written analysis shall be prepared. In all cases, however, the IOC cannot change the review decisions (5 or 3) made by the unit-level committees.

### **3.7.2.5.(f) Institute Level Communication of Outcome**

The IOC shall forward a copy of its unit-process assessment (item "i" of Section 3.7.2.5(e)) to the respective unit head, who will provide copies to current and future members of the unit's post-tenure review committees. Copies of all unit assessments shall also be forwarded to the Provost. A list of the faculty recommended by the IOC for recognition and reward shall be forwarded to the Provost for action.

### **3.7.2.6. Follow-up Reviews**

If a faculty member is judged to have had major and chronic deficiencies (3 year review decision) and has not made significant progress towards remedying the deficiencies identified in previous reviews, the IOC may refer the case to the Faculty Status and Grievance Committee under Section 2.4.7.4.(a)(2) of the statutes of the Georgia Institute of Technology.

### **3.7.3. PROCESS CLOSURE**

#### **3.7.3.1. Communication of Outcome**

Upon conclusion of the review process, the faculty member shall receive a letter from the President indicating the outcome of the review; a copy shall be sent to the respective unit chair. The unit chair's assessment of the faculty member's performance, the unit-level committee's report, and the Institute-level committee's analysis, if any, shall be attached to the letter. The letter should indicate when the next review is to be conducted. Faculty selected for recognition and reward should be so informed. Faculty receiving 3-year reviews should be required to meet with their unit head and dean regarding development plans (see Section 3.7.3.2 below). The unit head and dean shall arrange such a meeting in a timely fashion.

#### **3.7.3.2. Development Plans**

If the review process indicates that deficiencies leading to unsatisfactory performance exist, the faculty member, unit head, and dean will work together to develop a formal plan for faculty development. This plan must include clearly-defined and specific goals or outcomes, an outline of activities to be undertaken, a timetable, and an agreed-upon monitoring strategy. Resources may be allocated to assist in faculty development.

#### **3.7.3.3. Recognition and Reward**

The Provost, upon the recommendation of the IOC, shall recognize and reward outstanding faculty members via financial rewards and development opportunities.

#### **3.7.3.4. Appeals**

Grievances and appeals related to the post-tenure review process shall be handled by the Faculty Status and Grievance Committee under Section 2.10. of the statutes of the Georgia Institute of Technology.

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Source: Office of the Vice Provost for Undergraduate Studies and Academic Affairs  
Date: 7/98

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## **3.8. Process for 5-Year Comprehensive Review and Evaluation of Deans of Academic Units at Georgia Tech**

### **3.8.1 PURPOSE OF THE REVIEW.**

The performance of each Dean of an Academic Unit at Georgia Tech will be reviewed annually by the Provost. In addition, a comprehensive formal review must be completed around the end of every fifth year of appointment. The purpose of such comprehensive reviews is to evaluate the progress of the units under the Dean's leadership, to provide the opportunity for constructive input from faculty and other constituencies, and to review the professional contributions and

performance of the Dean as a “leader” and an “administrator.” This document describes the process by which such “five-year” reviews are to be conducted.

Ultimately, the purpose of such comprehensive reviews is to determine whether the Dean should be re-appointed for another term. A second five year appointment has been typical whereas a third five year appointment is unusual. Nevertheless the reappointment decision will be based on the best interests of the Institute, unit, and individual.

### **3.8.2. DEFINITION OF “DEANS” FOR THE PUPOSE OF THIS REVIEW.**

This review process is to cover the Deans of the Colleges of Architecture, Computing, Engineering, and Sciences, the Dean of the Ivan Allen College, the Dean of the DuPree College of Management, the Director of GTRI, and the Dean of Libraries.

### **3.8.3 STRUCTURE OF THE REVIEW PROCESS.**

The five-year review process is to be initiated by the appointment of a Review Committee by the Provost in consultation with the Chair of the Executive Board. The individual being reviewed will have opportunity to comment on the composition of the committee. The review committee will consist of no fewer than five members, and will normally be chaired by a senior faculty member from a different College/unit. The chair of the review committee will be chosen by the Provost, in consultation with the chair of the Executive Board. A majority of the review committee members will be chosen from among tenured, non-administrative, faculty in the academic units supervised by the Dean.

Early in the review process, the Dean should be asked to meet with the review committee and afforded the opportunity to provide a self-assessment. The committee should also seek appropriate input from the unit’s school/program chairs (if any), faculty, staff, students, and other constituencies. The committee should seek to identify areas where the Dean should place added emphasis/attention if he/she were to continue to lead the unit over the next five years.

Upon conclusion of the review, the committee will provide the Provost with a confidential written report of no more than five pages in length. The report should provide an assessment of the unit’s progress under the Dean’s leadership, an evaluation of the Dean’s performance as a “leader” and an “administrator,” and recommendations for improvement, if any. The Dean being reviewed will have opportunity to comment on the report. As the key component of the decision-making process, the Provost will evaluate the committee’s report, make a decision regarding re-appointment of the dean, and communicate the results of the review, including any recommendations therein, both orally and in writing to the person under review. The Provost will also inform the Review Committee of the re-appointment decision.

### **3.8.4. PERSON-SPECIFIC EVALUATION CRITERIA.**

Prior to the initial appointment and/or re-appointment of a Dean, the Provost and the candidate will define the criteria, along with any operationally meaningful measures, by which the Dean’s performance is to be judged. As part of the Provost’s annual review of the Dean, such performance criteria will be reaffirmed or modified in consultation with the dean. As a part of the charge to each specific dean’s five-year review committee, the Provost will review the

original evaluation criteria established at the beginning of the Dean's current term, as well as any annual changes made since that time.

### **3.8.5. GENERAL PERFORMANCE CRITERIA TO BE USED IN REVIEWS.**

While person/unit-specific evaluation measures will be established as described above, the following "general criteria" should aid in the establishment of such measures:

- a. Demonstrating evidence of commitment to the highest standards of quality in teaching, scholarship/research, and academic development, with evidence given of the college's actual progress on all three under his/her leadership.
- b. Providing effective management of the internal affairs of the college.
- c. Recruitment and retention of the highest quality administrators, faculty, staff and students.
- d. Managing the college's fiscal affairs.
- e. Developing and maintaining open communications with all constituencies.
- f. Facilitating goal setting by individuals, programs, schools, and by the unit as a whole.
- g. Identifying issues and resolving conflicts affecting the unit.
- h. Developing internal and external resources.
- i. Implementing fair and equitable performance evaluations and salary adjustments.
- j. Establishing a working environment conducive to achieving individual and unit goals, as well as balancing and reconciling diverse interests within the unit.
- k. Building relations with constituencies within and outside Georgia Tech.

### **3.8.6. MODIFICATIONS TO REVIEW TIMING.**

While the purpose of this procedure is to regularize the formal five-year review process of Deans, it is recognized that circumstances may dictate that a modified period is more efficient and/or appropriate. At the Provost's discretion, the formal review of a Dean may be performed at any time between four and six years after either the initial appointment or the preceding formal review. For colleges without schools, which are subject to the Board of Regents' five year program review, the review of the dean could be timed to coincide with the BOR review.

### **3.8.7. CONFIDENTIALITY**

It is essential that the utmost confidentiality be maintained during the review process. The Provost will provide the committee with confidentiality guidelines at their first meeting.

### **3.8.8. EXTRAORDINARY CIRCUMSTANCES**

It is recognized that all administrators, including Deans, serve at the will of their immediate supervisors and higher administrators. Nothing in this review process is meant to limit the ability and responsibility of higher administrators to make changes in leadership positions whenever it is deemed necessary or desirable.

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Approved by the Executive Board on June 18 2002.

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## **3.9. Process for 5-Year Comprehensive Review and Evaluation of School Chairs at Georgia Tech**

### **3.9.1 PURPOSE OF THE REVIEW:**

The performance of each academic unit chair at Georgia Tech will be reviewed annually by the responsible Dean. In addition, a comprehensive formal review must be completed around the end of every fifth year of appointment. The purpose of such comprehensive reviews is to evaluate the progress of the school under the chair's leadership, to provide the opportunity for constructive input from faculty and other constituencies, and to review the professional contributions and performance of the chair as a "leader" and an "administrator." This document describes the process by which such "five-year" reviews are to be conducted.

Ultimately, the purpose of such comprehensive reviews is to determine whether the chair should be re-appointed for another term. A second five year appointment has been typical whereas a third five year appointment is unusual. Nevertheless the reappointment decision will be based on the best interests of the Institute, college, school and individual.

### **3.9.2. STRUCTURE OF THE REVIEW PROCESS:**

The five-year review process is to be initiated by the appointment of a Review Committee by the responsible Dean in consultation with the Chair of the unit's statutory Faculty Advisory Committee. The individual being reviewed will have opportunity to comment on the composition of the committee. The review committee will consist of no fewer than five members, and will normally be chaired by a senior faculty member from a different academic unit in the college. The chair of the review committee will be chosen by the Dean, in consultation with the chair of the unit's Faculty Advisory Committee. A majority of the review committee members will be chosen from among tenured, non-administrative, faculty in the academic unit.

Early in the review process, the chair should be asked to meet with the review committee and afforded the opportunity to provide a self-assessment. The committee should also seek appropriate input from the unit's faculty, staff, students, and other constituencies. The committee should seek to identify areas where the chair should place added emphasis/attention if he/she were to continue to lead the unit over the next five years.

Upon conclusion of the review, the committee will provide the Dean with a confidential written report of no more than five pages in length. The report should provide an assessment of the school's progress under the chair's leadership, an evaluation of the chair's performance as a "leader" and an "administrator," and recommendations for improvement, if any. The chair being reviewed will have opportunity to comment on the report. As the key component of the decision-making process, the Dean will evaluate the committee's report, make a decision regarding re-appointment of the chair, and communicate the results of the review, including any recommendations therein, both orally and in writing to the unit chair. The Dean will also inform the Review Committee of the re-appointment decision.



### **3.9.3. PERSON-SPECIFIC EVALUATION CRITERIA:**

Prior to the initial appointment and/or re-appointment of a unit chair, the Dean and the candidate will define the criteria, along with any operationally meaningful measures, by which the chair's performance is to be judged. As part of the Dean's annual review of the chair, such performance criteria will be reaffirmed or modified in consultation with the chair. As a part of the charge to each specific chair's five-year review committee, the Dean will review the original evaluation criteria established at the beginning of the chair's current term, as well as any annual changes made since that time.

### **3.9.4. GENERAL PERFORMANCE CRITERIA TO BE USED IN REVIEWS**

While person/unit-specific evaluation measures will be established as described above, the following "general criteria" should aid in the establishment of such measures:

- a. Demonstrating evidence of commitment to the highest standards of quality in teaching, scholarship/research, and academic development, with evidence given of the school's actual progress on all three under his/her leadership.
- b. Providing effective management of the internal affairs of the school.
- c. Recruitment and retention of the highest quality faculty, staff and students.
- d. Managing the school's fiscal affairs.
- e. Developing and maintaining open communications with all constituencies.
- f. Facilitating goal setting by individuals, programs, and by the unit as a whole.
- g. Identifying issues and resolving conflicts affecting the unit.
- h. Developing internal and external resources
- i. Implementing fair and equitable performance evaluations and salary adjustments.
- j. Establishing a working environment conducive to achieving individual and unit goals, as well as balancing and reconciling diverse interests within the unit.
- k. Building relations with constituencies within and outside of Georgia Tech.

### **3.9.5. MODIFICATIONS TO REVIEW TIMING**

While the purpose of this procedure is to regularize the formal five-year review process of unit chairs, it is recognized that circumstances may dictate that a modified period is more efficient and/or appropriate. At the Dean's discretion, the formal review of a unit chair may be performed at any time between four and six years after either the initial appointment or the preceding formal review. Review of the chair could be timed to coincide with the mandatory Board of Regents' program review.

### **3.9.6. CONFIDENTIALITY**

It is essential that the utmost confidentiality be maintained during the review process. The Dean will provide the committee with confidentiality guidelines at their first meeting.

### **3.9.7. EXTRAORDINARY CIRCUMSTANCES**

It is recognized that all administrators, including the unit Chairs serve at the will of their immediate supervisors and higher administrators. Nothing in this review process is meant to

limit the ability and responsibility of higher administrators to make changes in leadership positions whenever it is deemed necessary or desirable.

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Approved by the Executive Board 18 June 2002.

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### **3.10. Award of Emeritus Title**

"Emeritus status is an honorific title signifying distinguished service to Georgia Tech. Consistent with Board of Regents policy, the president may recommend to the Board that an employee be granted "emeritus" status upon retirement. The president's recommendation will be based, in part, upon the recommendation of the unit in which the employee has served.

The following procedure will be used to develop recommendations:

- 1). The employee seeking the "emeritus" title shall submit a written request to the unit head prior to the planned retirement date. An employee may also be nominated for emeritus status by a colleague within the same unit, with the consent of the nominated employee.
- 2). If the unit has a designated Faculty Advisory Committee, the unit head shall forward the request, along with a detailed vita of the employee, to that committee. The unit's Faculty Advisory Committee shall submit a written recommendation (either positive or negative) to the unit head.
- 3). The unit head shall prepare a written recommendation (either positive or negative) and shall forward such recommendation, along with the unit's Faculty Advisory Committee's recommendation (if applicable) and the employee's vita, to the president for final action.
- 4). The unit recommendations shall be conveyed to the president and the candidate no later than three months after the request date."

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Source: Endorsed by the Executive Board, November 28, 2000

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### **3.11. Professional Absence and Leave Policies**

The various types of leaves are defined in the Board of Regents Policy Manual, Section 802.08 as well as, the Board of Regents Academic Affairs Handbook, Section 4.05.01. The following section discusses leave policies that are unique to Georgia Institute of Technology. However, none of these policies supersede the policies and procedures stated in the Board of Regents Policy Manual and Academic Affairs Handbook.

#### **3.11.1. POLICY ON ABSENCES FROM CAMPUS FOR PROFESSIONAL ACTIVITIES**

Occasional absences from campus are necessitated by the professional activities of most faculty members in a Research I university, and are consistent with the Duties, Responsibilities, and Privileges of faculty described in the Georgia Tech Faculty Handbook, Section 2.8.2.2.(b). At the same time it is essential that supervisors be cognizant of absences of faculty from campus

and the reason for those absences, and that there be a clear prior approval and administrative oversight process that ensures that Board of Regents and Institute policies are followed. The following procedures and approvals are intended to accomplish these objectives.

### **3.11.1.1. Procedures**

3.11.1.1.(a). Absences from campus of more than one business day for professional activities, including consulting, should be documented in advance by submission of a Travel Authorization Form (TAR), or other acceptable document as required for approval under Section B. This procedure is consistent with section 2.8.2.2.(c) of the Faculty Handbook.

3.11.1.1.(b). The purpose of an absence and an itinerary should be provided. Any deviations from the original itinerary must be clearly indicated and explained when requests for reimbursement from Georgia Tech are submitted.

3.11.1.1.(c). For absences from campus for professional activities of one business day or less the faculty member should notify his/her supervisor or designated representative as to his/her location. A Travel Authorization Form is not required unless reimbursement for expenses is expected.

3.11.1.1.(d). It is the faculty member's responsibility to arrange for his/her duties to be performed during absences from campus. Cancellation of undergraduate classes due to absences from campus is strongly discouraged.

3.11.1.1.(e). All absences for consulting must be reported monthly.

### **3.11.1.2. Approvals**

3.11.1.2.(a). Absences of more than one business day must be approved by the School Chair or his/her designated representative.

3.11.1.2.(b). Absences of more than ten consecutive business days must be approved by both the School Chair and the Dean of the College, who will notify the Provost's office.

3.11.1.2.(c). A proposed absence of greater than half a term in duration must be forwarded to the President's office by the Dean of the College for consideration for a Leave of Absence as defined by the Board of Regents.

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Source: Endorsed by the Faculty Senate, September, 1999

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## **3.11.2. POLICY ON EXTENSION OF THE PROBATIONARY PERIOD FOR TENURE**

### **3.11.2.1. Purpose**

The Georgia Institute of Technology has a critical interest in attracting and retaining a faculty of the highest quality. This interest is enhanced by insuring that faculty are promoted and tenured in ways that are fair and humane. To ensure fairness and equity in administering the system of academic tenure, the Institution must provide consistent conditions and standards while supporting members in balancing personal and family obligations with professional and

scholarly achievement. For these reasons, extensions of the probationary period for tenure of a member are reserved for compelling circumstances which impair the ability of an individual to establish the stature expected of faculty members at Georgia Tech within the normal time frame.

### **3.11.2.2. Conditions**

3.10.2.2.(a). Approvals of extensions of the probationary period are never automatic but may be granted when circumstances cause substantial impairment of a candidate's ability to pursue his or her teaching and scholarly activities. Such circumstances may include severe personal illness, childbirth, adoption of a child less than six years old, or other significant obligations to a member of the family or household.

3.11.2.2.(b). The probationary period may not be interrupted for more than one year per event with a maximum extension of two years.

3.11.2.2.(c). If an extension is granted, no additional requirements for tenure can be imposed upon the candidate by virtue of the rollback. Thus, the candidate continues to be subject to the requirements to which he or she would have been subject without the extension.

3.11.2.2.(d). The terms and conditions of this policy apply equally to men and women.

### **3.11.2.3. Procedure**

Requests for an extension of the probationary period must be made in writing and submitted to the appropriate dean or school chair who will review the request. All requests must be made within three months of the event related to the rollback request. Any supporting documentation should be attached to the request. Requests are not granted automatically. Generally, however, Georgia Tech will attempt to provide rollbacks to all candidates that are making good progress and are requesting a rollback due to childbirth. Other circumstances warranting extension are considered equally valid but must, necessarily, be evaluated on a case-by-case basis. Every effort should be made to accommodate a request when it becomes clear that circumstances, consistent with this policy, will substantially impede the faculty member's progress toward achieving indefinite tenure or promotion.

The school chair will forward the request to the appropriate dean along with an evaluative statement addressing the faculty member's scholarly progress. The dean will make a recommendation and forward this request to the Provost for final action.

Consistency with Board of Regents' policy dictates a required leave to be comprised of sick leave or other alternatives. This requirement will be developed with the appropriate school chair or dean in colleges without schools.

Unit heads who recognize the need for a faculty member to request an interruption of the probationary period are encouraged to discuss this policy with that individual and to do so in a timely manner. Faculty members should feel free to approach their unit heads for information concerning this policy or with individual requests for extension.

Administrative reviews will continue to occur on a regular basis and are unaffected by this policy. Critical reviews however will be delayed with the probationary period extension.

The Provost will provide an annual report to the Executive Board and the Provost's Committee on Promotion, Tenure, and Reappointment on the implementation of this policy.

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Source: Endorsed by the Faculty Senate, February 29, 2000

See Section 2.4.7.2.(c) of the Georgia Tech Statutes

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## 4.0 RESEARCH

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### 4.1. GEORGIA TECH RESEARCH CORPORATION

The Georgia Tech Research Corporation, acting in administrative and financial support of the Georgia Institute of Technology, is able to assist in certain areas by virtue of its existence as a corporate entity. Basically, GTRC has made it possible for Georgia Tech to operate successfully in a rather restrictive and sometimes uncertain State regulatory environment. It has also been able to underwrite the vagaries that exist in an operation largely dependent on obtaining competitive contracts as its principal revenue source. Several of these special areas of support are outlined below:

- A. Serves as a contracting agency with industry, government, and other sponsors.
- B. Provides a short reaction time in contract matters and sponsors, on some occasions handling them informally if desirable.
- C. Maintains basic reserves to assure operating capital, thus providing stability and a means for long-range planning for the research program.
- D. Assists Georgia Tech by defraying moving expenses for research faculty.
- E. Assists Georgia Tech in attracting research dollars by appropriating funds for facilities and equipment, especially when a research award may be contingent upon Tech's having the facilities or equipment and the means for acquiring them are not otherwise available.
- F. Serves as a fiscal buffer between external agencies and Georgia Tech through such activities as: carrying accounts receivable, assuming responsibility for retroactive provisional overhead adjustments, and absorbing bad debts.
- G. Fulfills functions that otherwise present problems under State or Institutional Procedures. For example:
  - 1. carries comprehensive third party liability insurance on research operations;
  - 2. carries extra hazard insurance on research personnel where undue exposure justifies;
  - 3. issues travel advances and reimburses some business expenses not otherwise reimbursable;
  - 4. contracts for time purchases of expensive equipment; and
  - 5. assumes contingent liability when it is not otherwise negotiable.
- H. Serves as an agency for obtaining patents on Georgia Tech inventions and for licensing their development and commercialization by industry. It serves in the same capacity for copyright and other proprietary materials.
- I. Assists Georgia Tech in obtaining or leasing research facilities.

### **4.1.1. GEORGIA TECH RESEARCH CORPORATION EDUCATIONAL ASSISTANCE PROGRAM FOR RESEARCH FACULTY**

#### **4.1.1.1. General**

The Educational Assistance Program of the Georgia Institute of Technology provides opportunities and assistance for research faculty in: (a) developing their capabilities; (b) preparing themselves for advancement; and (c) performing better on the job. It is anticipated that additional education will benefit the member as well as the Institute. However, the member's primary responsibility is his/her job assignment at Georgia Tech, and the pursuit of additional education must not interfere with this assignment. The program provides financial aid for specific types of educational programs as outlined in the following policies and procedures:

#### **4.1.1.2. Tuition Reimbursement Program**

Georgia Tech encourages members of its professional research staff to take advantage of every opportunity for continuing their professional education and improving their job skills. To this end, the Tuition Reimbursement Program provides for reimbursement for tuition (maximum of six hours per semester) and student health and activity fees for any course for which approval has been granted. The provisions of the program are subject to change, depending on funds available, the number of participants, and experience gained in operation of the program.

##### **4.1.1.2.(a) Eligibility Requirements**

With proper approval of the appropriate unit, any permanent, full-time Georgia Tech employee with the title of Research Engineer, Scientist, Technologist, Associate I through Principal Research Engineer, Scientist, Technologist, Associate is eligible to apply for tuition reimbursement. Special consideration will be given to professional staff members who have other titles and who because of their responsibility are in a position to enhance research programs at Georgia Tech. Under certain circumstances, full-time professional staff members may reduce their workload and continue to participate in the program.

##### **4.1.1.2.(b) Conditions of Participation**

In order to participate in the Tuition Reimbursement Program, the professional staff member must meet the following conditions:

- A. Meet eligibility requirements and complete the application form;
- B. Attend an approved college/university;
- C. Pursue course work in an area closely related to present or future work assignments;
- D. Not be entitled to reimbursement from other sources; and
- E. Obtain a course grade of C or better.

##### **4.1.1.2.(c) Procedure**

In order to control and maintain the Tuition Reimbursement Program in an efficient and systematic manner, GTRC has implemented the following procedure:

The staff member shall complete an Application for Tuition Reimbursement form including approvals (see Appendix 4.1.1.2(c) in the Appendices). The application shall be submitted to the Tuition Reimbursement Program, through the College Dean or the appropriate Director, Georgia Tech Research Institute, within a week of the date of the employee's registration. After review, a copy of the application shall be returned to the staff member indicating the action taken.

Within two weeks after completion of the course(s), the employee shall submit to the same program address above a transcript of his/her grade(s) and proof of payment of tuition and student health and activity fees.

After the transcripts of grades and proof of payments have been received, authorization for payment will be forwarded to the Georgia Tech Research Corporation. Recent experience indicates that reimbursement checks will be available about six weeks after the close of a school quarter.

#### **4.1.2. FELLOWSHIP STIPENDS FOR RESEARCH-TITLED MEMBERS OF THE GENERAL FACULTY NEARING COMPLETION OF DOCTORAL STUDY PROGRAMS AT GEORGIA TECH**

Under Construction

#### **4.1.3. RESEARCH FACULTY PROFESSIONAL ACTIVITY SUPPORT**

Under Construction

#### **4.1.4. GEORGIA TECH RESEARCH CORPORATION SUPPLEMENTARY FUNDS FOR FOREIGN TRAVEL**

Under Construction

#### **4.1.5. TRAVEL ADVANCES FOR RESEARCH-RELATED TRAVEL**

Travel advances are available as a convenience for personnel in the performance of their professional responsibilities. It is suggested that credit cards and the campus American Express Travel service be used to minimize requests when feasible. Because of the large amount of funds required for travel advances, the following procedures must be observed.

- A. Requests for travel advances are made on the "Request for Travel Advance Form" (see Appendix 4.1.5.1. in the Appendices). The request form must be approved prior to preparation and release of travel advance checks by GTRC.
- B. Requests for travel advances should be submitted to GTRC at least three days before departure. Please avoid special "last minute" requests.
- C. Travel advance checks will be ready after ten o'clock (10:00 a.m.) on the last working day before departure and may be picked up in the GTRC office.
- D. Repayment of travel advance funds must be made in full upon reimbursement of travel expenses and no later than fifteen working days after the researcher's return to the campus. Repayment may be made in cash or by personal check payable to Georgia Tech Research Corporation. You may also refund a travel advance



directly from your Georgia Tech travel expense check. You can do this by indicating the amount of your travel advance on the travel expense form (at the bottom titled "LESS TRAVEL ADVANCE"). If the amount of the advance is greater than the amount reimbursed, GT will refund the total reimbursement to GTRC and the traveler must remit the additional amount to GTRC. If the travel payment is greater than the advance, GT will reimburse GTRC the travel advance portion and a check for the remaining balance will be sent to the traveler.

- E. Only one travel advance may be outstanding from any individual at any time unless there is a sound, mitigating circumstance (for example, trips spaced less than fifteen working days apart).
- F. Each month, each School/Laboratory Director will be given a list of accounts that are significantly past due. If these accounts are not cleared within ten working days, no advances will be issued to personnel of that School/Laboratory until the delinquent account is cleared. The individual involved will be issued no further advances for the next twelve months. Under special circumstances, such as delayed return, it is the responsibility of the School/Laboratory Director and/or staff member to inform GTRC in writing to request an extension. Such request must be made in writing to GTRC no later than fifteen days after the originally planned return to campus.

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Source: Georgia Tech Research Corporation Date: 8/02

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## **4.2. INDIRECT COSTS, PROPRIETARY CONSTRAINTS, CLASSIFIED PROGRAMS, AND MATCHING FUNDS**

At Georgia Tech in Resident Instruction (the Colleges and Centers), each sponsored program conducted is required to be budgeted to permit the Institute to charge indirect costs on modified total direct costs (MTDC). MTDC includes most direct costs (such as salaries, materials and supplies, travel, fringe benefits, charges of cost centers, and the first \$25,000 of each subcontract). This method of cost recovery has been mandated by the Office of Management and Budget (OMB) under Circular A-21, Revised, governing cost principles for educational institutions. In the Georgia Tech Research Institute (GTRI), sponsored program costs are recovered under commercial cost principles (Federal Acquisition Regulation Part 31.2), and indirect costs are charged as lab overhead on the director labor base and General & Administrative indirect (G&A) on most other direct costs.

Every sponsored program that includes salaries and wages will also include a charge for fringe benefits. This is a rate to recover Georgia Tech's cost of the employees' benefits program (i.e., retirement, insurance, etc.). It is an annual rate approved by the Office of Naval Research (ONR) after an advisory audit by the Defense Contract Audit Agency (DCAA) of the actual cost of the program. There are different rates for full-time and part-time employees. Students do not participate in the benefits program.

Similarly, the overhead rates for sponsored programs are annual rates effective July 1st of each year and are approved by ONR after an advisory audit by DCAA of all indirect costs of the Georgia Tech research program. Georgia Tech has different rates for GTRI sponsored projects and for sponsored projects conducted by campus units other than GTRI. In FY93 the federal government "capped" the overhead rates that universities can charge on federally funded research; however, Georgia Tech was instrumental in obtaining federal legislation that removed the artificial "cap" from Department of Defense sponsored contracts. On industrial sponsored research projects where no federal funding is involved, Georgia Tech now charges an overhead rate that more closely approximates our actual costs. Additionally, Georgia Tech/Resident Instruction and GTRI each have a separate overhead rate for sponsored public service programs and this same rate is also used for all State of Georgia and local government funding agencies. In summary, Georgia Tech/Resident Instruction has "capped", "uncapped" and public service rates that are negotiated with ONR along with an industrial rate used when no federal funding is involved. Any exception to these sponsored project overhead rates must be approved by the Vice Provost or Associate Vice Provost for Research.

The currently approved sponsored research rates as well as approved forecast of rate changes for multi-year proposals are available by calling the Office of Contract Administration (OCA) at 404-894-4817.

In certain circumstances, a research sponsor will desire to (A) place restrictions on Georgia Tech's use and disclosure of sponsor proprietary information, and/or (B) receive either an assignment of or exclusive license to any intellectual property arising out of a specific research project. While Georgia Tech does not encourage the acceptance of such provisions, where the performance of the research under such limitations continues to enhance Georgia Tech's overall program of research, service, and education without unreasonable adverse consequences to either Georgia Tech or the research personnel affected, such limitations will be considered.

Prior to discussion of any such limitations with a potential sponsor, the Office of Contract Administration, Program Initiation Division, should be contacted for an analysis and a determination of whether the advantages to Georgia Tech outweigh drawbacks resulting from acceptance of the constraints. Where a decision is made to accept a contract which requires a transfer of intellectual property rights and/or limitation on Georgia Tech's right of publication or use of research results, a fee above and beyond the costs of the research will normally be imposed on the sponsor. Full details on the procedures for consideration of such limitation of contract provisions of this type may be obtained from the Office of Contract Administration or from the OCA Policies and Procedures Manual.

Georgia Tech sometimes undertakes sponsored programs requiring acceptance of security standards set forth by various governmental agencies. At the present, facilities and procedures are in accord with standards of the U.S. Department of Energy and U.S. Department of Defense. Proposals requiring these standards should be discussed in advance with OCA and the academic dean or Director of the Georgia Tech Research Institute as the responsible approving technical administrator.

Some sponsored programs require matching funds as part of the budget. This may occur either because of the policy of the sponsoring agency or because the principal investigator and his/her school director and dean concur that the work is of sufficient importance to their institutional

goals to warrant investment of general research funds. Normally, few central administrative funds are available for matching fund commitments. In every case potential principal investigators should consult with their school director for approval of matching fund commitments before preparing a proposal. While matching funds play an important role in the Institution's ability to obtain external funds for research, it should be noted that matching funds are included in the base for determining overhead. Expenditure of matching funds, therefore, has the effect of lowering the overhead recovery in future years.

After a proposal is complete, it should be sent through the normal routing chain, as covered in Section 4.4. on the Office of Contract Administration, and accompanied by a Sponsored Program/Research Proposal Cost Sharing Approval Form (see Appendix 4.2. in the Appendices) showing the source of the matching funds and the amount required.

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Source: Office of Contract Administration Date: 7/98

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### **4.3. OFFICE OF INTERDISCIPLINARY PROGRAMS (OIP)**

The Office of Interdisciplinary Programs', Centers and Institutes can be viewed as the horizontal components of Georgia Tech's matrix organization in which academic units and GTRI laboratories comprise the vertical lines. Individual centers vary in size and scope from large organizations which have separate buildings and involve faculty from a number of academic units and GTRI laboratories - e.g., the Manufacturing Research Center and the Microelectronics Research Center - to small units operating primarily within a single college, school or laboratory - e.g, Fluid Properties Research Institute and Fusion Research Center.

Center activities include research, service (internal and external), instruction and continuing education, with the emphasis on these areas varying among the individual centers. Research is the major focus of most centers; but educational activities, including interdisciplinary degree programs, are significant components of some centers - e.g., the Polymer Education and Research Center and the Bioengineering Center. Some centers are focused primarily on external service activities - e.g., the Environmental Research Center. The staffs of most centers, including directors, have primary appointments in line organizations-- academic units and GTRI laboratories. The larger centers such as MARC, MiRC, and GCATT have relatively small full-time staffs that provide the leadership and infrastructure to support activities which involve significant numbers of faculty from line organizations.

Centers are fluid organizations which can serve as focal points for organization of faculty and student teams in key interdisciplinary areas. Mechanisms for interacting with external constituencies include affiliate programs, contracts or grants (single or multiple clients), student support or employment (fellowships and/or cooperative work assignments) and visiting scholars or coordinators. Center investments are often highly leveraged with funds from other public and private sources.

A complete list of centers and a brief statement about the activities of the individual centers can be obtained from:

Office of Interdisciplinary Programs

Georgia Institute of Technology

Atlanta, GA 30332-0130

Telephone: (404) 894-2375

FAX: (404) 894-7339

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Source: Office of Interdisciplinary Programs Date: 7/97

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#### **4.4. OFFICE OF CONTRACT ADMINISTRATION (OCA)**

The Office of Contract Administration (OCA) maintains a staff to provide services necessary for interacting with various external agencies that sponsor programs of instruction and research at Georgia Tech. All proposals must be routed through OCA for official submission to the sponsoring agency. OCA verifies the proposed budget and handles all contractual or grant administrative matters relating to the submission and subsequent funding of proposals.

It is the responsibility of principal investigators and their School/ Laboratory/Department to prepare the proposals in terms of technical quality, adhering to any particular format required by a given sponsor and for actual typing and organization of the proposal. The Contracting Support Division of OCA offers editorial assistance for proposals. Proposals will be reviewed with special attention given to grammar, spelling, punctuation, and ensuring that the prescribed format (if any) is followed. Proposals will be accepted in hardcopy form or on disk in MicroSoft Word 6.0 or WordPerfect 6.0 (or lower) format. Call CSD at 404-894-6942 to make an appointment. Ordinarily, no proposal will be forwarded to an outside agency unless one of the principal investigators is a member of the General Faculty of the Institute and there is at least one School/Laboratory/Department willing to provide the necessary administrative commitment to permit the program to be carried out.

All proposals that are submitted within a reasonable time before the potential sponsor deadline will be reproduced by OCA and, as appropriate, bound with a cover for submission to the potential sponsoring agency. Every effort will be made by OCA to cooperate in meeting tight time deadlines. It is the responsibility of the principal investigator, however, to coordinate the proposal submission with OCA when it is not possible to have the finished proposal in OCA at least one week before the sponsor deadline date.

OCA also handles all requests for RFPs (Requests for Proposals). Faculty members may call 404-894-6947, giving the sponsoring agency and any identification numbers or other useful identifying information that may be available. Because more than one faculty member frequently wants a given RFP, it is important that requests for RFPs be made in this manner rather than faculty members trying to obtain them on an individual basis. Whenever more than one principal investigator wishes to respond to a given RFP, the Vice Provost for Research and Graduate Studies will determine whether multiple proposals may be submitted from the Institute, whether a coordinated multidisciplinary proposal should be prepared or whether a single research group best represents what the Institute can propose.

OCA also records the responses faculty members submit to "sources sought" announcements from sponsoring agencies, since those responses may lead to receipt of RFPs. Any resulting RFP is distributed to those who advised OCA that they had prepared a response to the Sources Sought Notice as well as to everyone else who has indicated an interest in the project. Everyone who receives the RFP will be advised of others also receiving it.

OCA also has responsibility for administrative reports, property, and termination procedures involved in all grant and contract operations. The Office also assists in development of special cost centers, such as development of computer rates, etc.

Proposals always must have administrative approval as shown on the Sponsored Program/Research Proposal Authorization Form (see Appendix 4.4. in the Appendices).

OCA has also published an "OCA Policies and Procedures Manual" that has been distributed to every department on campus. It is a useful reference manual providing detailed information to researchers and research administrators.

#### **4.4.1. OCA RESOURCE MATERIAL FOR SPONSORED PROGRAMS**

OCA publishes "Research News," a monthly newsletter which provides the latest information on solicitations, major programs, sponsorships, government funding, and other news about university research. A daily electronic posting of RFPs and other solicitations from the Commerce Business Daily is available to the campus on gopher. This bulletin board of research opportunities is supplemented with occasional special notices and urgent announcements.

OCA has on-line database search capability of several databases containing thousands of funding sources, program descriptions, and contact points. OCA also maintains an extensive library of telephone and organizational directories, manuals, guides, registers, special announcements, program descriptions and application forms, as well as the official library of material relating to human and animal subjects research.

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Source: Office of Contract Administration Date: 7/97

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#### **4.5. RESEARCH ADVISORY COUNCIL**

The Research Advisory Council is a group of faculty members, administrators, and students who form a representative cross-section of research-oriented personnel. They meet regularly to advise the Vice President for Research and Graduate Programs on the policies and procedures that support and expand the Georgia Tech research program. Members of the Council serve three-year terms with a rotation of four members per year. Advisory functions of this group have included developing the Institute patent policy, evaluating and prioritizing Institute-wide major research equipment and facilities, developing policies and recommendations relating to, and selecting recipients of research awards and seed grants, and other matters relating to development of the Institute's research program. Members of the Council are selected by the Office of the Vice President for Research and Graduate Programs upon the recommendation of the academic deans and Director of the Georgia Tech Research Institute.

Source: Office of the Vice Provost for Research and Graduate Studies Date: 5/95

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## **4.6. GENERAL AND INDIRECT RESEARCH**

### **4.6.1. GENERAL RESEARCH--"E" FUNDS**

"General Research" is a term used in the University System of Georgia to describe research carried out under the supervision of faculty members and supported by funds allocated to the system by the state legislature (as opposed to funds that are supplied for sponsored research by an external funding agency).

General Research funds are often used as "seed money" to fund ideas that are in their seminal stages which may need developing before they are considered worthy of funding by an external agency. The support of such development work is an appropriate use of general research funds.

Faculty members newly hired into University System institutions frequently wish to begin their research immediately. Often, they are supported on general research funds while developing their research programs and writing proposals for outside funding.

Some research projects are consistent with the mission of the Institute but are not of potential interest to funding agencies. General Research funds sometimes are used to support such projects.

### **4.6.2. INDIRECT RESEARCH--"H" FUNDS**

"Indirect Research" is a term used in the University System to describe those activities that are essential to the administration of research, both general and sponsored, but that are not by their nature directly chargeable to individual research projects. They are activities associated with the "overhead" function.

Examples of appropriate indirect research activities are: the administrative functions of budget control of research projects, assignment of facilities and personnel to research projects and the accounting and record-keeping function related to research, social security taxes, other insurance, building space and utilities, security, janitorial services, library, and grounds keeping.

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Source: Vice Provost for Research Date: 5/95

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## **4.7. RESEARCH COMPLIANCE**

Universities, as partners in the national research enterprise, are required by federal and state regulations to establish specific research committees to ensure the safety and welfare of research subjects, those conducting research, and others who work or study within the research environment. Following are descriptions of the committees which have been established to oversee these particular research areas: animal subjects, recombinant DNA, human subjects, radioactive materials, and biohazards.

#### **4.7.1. INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE**

The *Institutional Animal Care and Use Committee* (IACUC) is charged with ensuring that animals involved in research and teaching receive humane care and treatment. The IACUC regularly inspects and monitors the total animal care and use program at the Institute to ensure that all components are in compliance with regulations and guidelines outlined in the Federal Animal Welfare Act. All research activities involving animal subjects must be reviewed by the Georgia Tech IACUC, regardless of whether the research is conducted on campus or off campus. The IACUC meets on an as-needed basis to review research proposals/protocols which involve animal subjects. Committee members are appointed by the Provost and Vice President for Academic Affairs.

#### **4.7.2. INSTITUTIONAL BIOSAFETY COMMITTEE**

The *Institutional Biosafety Committee* (IBC) is committed to protecting the rights and welfare of personnel conducting research on the campus. The committee is charged with ensuring that all research involving recombinant DNA is conducted in a safe and prudent manner. Recombinant DNA being considered in this context are those molecules which are constructed outside living cells or which result from the replication of constructed DNA within living cells. The role of the committee is to assure that laboratory practices conform to federal and state regulations. All research activities involving recombinant DNA, regardless of source of funding, must be reviewed by the IBC. The IBC has the responsibility and authority to review, approve, disapprove, or require changes in research activities involving recombinant DNA materials. The IBC holds meetings as needed to review research proposals involving recombinant DNA. Committee members are appointed by the Vice Provost for Research and Dean of Graduate Studies.

#### **4.7.3. INSTITUTIONAL REVIEW BOARD**

The *Institutional Review Board* (IRB) is charged with ensuring that the rights and welfare of human research subjects are protected. The IRB has the responsibility and authority to review, approve, disapprove, or require changes in research activities involving human subjects. All research activities involving human subjects, regardless of source of funding, must be reviewed by the Georgia Tech IRB. The IRB holds regular monthly meetings to review research proposals involving human subjects. Committee members are appointed by the Provost and Vice President for Academic Affairs and serve three-year terms.

#### **4.7.4. INSTITUTIONAL SAFETY COMMITTEE**

Georgia Tech is committed to protecting the rights and welfare of personnel conducting research on the campus. The *Institutional Safety Committee* (ISC) is charged with ensuring that right and that all research and disposal of research waste is conducted in a safe and prudent manner. The ISC has the responsibility and authority to review, approve, disapprove, or require changes in research activities involving biohazardous materials. Biohazards being considered in this context are infectious or disease causing agents and toxic agents (e.g. a toxin or pharmacologically active agent). All research activities involving biohazards, regardless of source of funding, must be reviewed by Georgia Tech's *Institutional Safety Committee* (ISC). The ISC holds regular

meetings once each quarter and on a needs basis to review research proposals involving biohazards. The role of the Committee is to assure that laboratory practices conform to a judicial and prudent use of biohazards and that the proposed procedures follow the federal and state regulations.

#### **4.7.5. NUCLEAR SAFEGUARDS COMMITTEE**

The *Nuclear Safeguards Committee* is responsible for maintaining the health and safety standards associated with the use of radioactive materials on the Georgia Tech campus and the operation of the Georgia Tech Research Reactor (GTRR). The committee meets quarterly, at a minimum, to review proposed experiments and tests utilizing radioactive material, the reactor facility, the hot cell facility, and all the other types of ionizing radiation on the Georgia Tech campus. The committee also reviews proposed and existing operating procedures and health physics procedures for the GTRR and audits reactor operations and plant equipment performance. Committee members are appointed by the President and serve three-year terms.

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Source: Office of the President Date: 8/96

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#### **4.7.7. POLICY ON SCHOLARLY MISCONDUCT**

##### **4.7.6.1. Definitions**

"Complainant" is an individual filing a written complaint of misconduct.

"Day or Days" shall refer to calendar days.

"Inquiry" is an information-gathering and initial fact finding process to determine whether an allegation or apparent instance of misconduct warrants an Investigation. An Inquiry should be conducted with minimum publicity and maximum confidentiality.

"Institute" is the Georgia Institute of Technology.

"Investigation" is an informal examination and evaluation of all relevant facts to determine if an instance of misconduct has taken place, to evaluate its seriousness, and if possible, to determine responsibility and the extent of any adverse effects resulting from the misconduct.

"Misconduct" or "scholarly misconduct" is the fabrication or falsification of data, plagiarism, or other practice that seriously deviates from those that are commonly accepted within the academic or research community for proposing, conducting or reporting research or scholarly activity. It does not include honest error or honest differences in interpretation or judgments of data.

"Plagiarism" is the act of appropriating the literary composition of another, or parts or passages of his or her writings, or the ideas or language of the same, and passing them off as the product of one's own mind. It involves the deliberate use of any outside source without proper acknowledgment. Plagiarism is scholarly misconduct whether it occurs in any work, published or unpublished, or in applications for funding.

"Respondent" is an individual who is the subject of an inquiry or investigation.



#### **4.7.6.2 Procedures**

##### **Applicability**

This policy shall apply to all instructional faculty, research faculty and other members of the Institute's community including without limit graduate student research assistants, graduate student teaching assistants, graduate student staff, undergraduate students employed in research or other scholarly activity, post doctoral fellows and post doctoral research associates, visiting faculty or staff, faculty or staff on sabbatical leave, adjunct faculty when performing Institute work, and faculty or staff on leave without pay. This policy applies to students when acting in the course of their employment with the Institute.

##### **Reporting of Possible Misconduct**

Actions constituting misconduct as defined herein shall not be grievable to the Faculty Status and Grievance Committee. All allegations of misconduct shall be made in writing, signed by the Complainant and shall be made in confidence directly to the Provost and Vice President for Academic Affairs. Upon receipt of a complaint, the Provost and Vice President for Academic Affairs shall inform the President and Chief Legal Advisor of the allegation. In the event that the person making the allegation considers the Provost and Vice President for Academic Affairs to have a conflict of interest, the allegation may be reported directly to the President. The Provost and Vice President for Academic Affairs shall consult with the Chief Legal Advisor to determine if an Inquiry is necessary. If the issue involved does not amount to misconduct, satisfactory resolution through means other than this policy should be sought and to the extent possible, the identity of the informant(s) shall remain confidential.

##### **Interim Administrative Actions**

Upon recommendation of the Provost and Vice President for Academic Affairs or the Chief Legal Advisor, the appropriate Dean or Vice President may meet with the Respondent for the purpose of imposing temporary interim administrative actions prior to the completion of an Inquiry or Investigation if necessary to safeguard the integrity of the research or scholarly activity, prevent inappropriate use of sponsored funding, or otherwise protect the interests of a sponsor, the Institute or the public. If temporary suspension of duties is imposed, such suspension shall be without loss of pay, pending the conclusion of the process described herein. At such meeting, the Respondent shall be informed of the reasons for such action taken and afforded the opportunity to oppose such action.

##### **Inquiries**

If it is determined that an informal Inquiry is necessary, every reasonable effort shall be made to protect the identity of the individual(s) involved. (If the process reaches the investigative phase, however, the right of the Respondent to confront the Complainant requires that the identity of the Complainant be revealed). The Provost and Vice President for Academic Affairs shall direct the investigation. The Provost and Vice President for Academic Affairs may, in his/her sole discretion, form an Inquiry Committee the membership of which shall be determined by the Provost and Vice President for Academic Affairs. The Inquiry Committee shall include one or more senior colleagues where specific technical expertise is required. The Provost and Vice President for Academic Affairs may confer with the Chief Legal Advisor as needed. When an Inquiry is initiated, the Provost and Vice President for Academic Affairs shall notify the

Respondent in writing that a complaint of misconduct has been received and advise the Respondent of the inquiry. The Provost and Vice President for Academic Affairs in consultation with the Chief Legal Advisor shall determine what additional notification is necessary including if and when external funding agencies, if any, should be notified. Any such notification shall include a complete description of the evidence and shall be provided by the Provost and Vice President for Academic Affairs. The Provost and Vice President for Academic Affairs or the Inquiry Committee shall separately meet with the Respondent and Complainant and shall review all necessary and reasonable documentation to determine if an Investigation should be recommended. Refusal on the part of the Respondent to cooperate shall be grounds for the recommendation for an Investigation. The inquiry shall be completed and a final written report of the findings shall be prepared and submitted to the President within 30 calendar days of its initiation. The final report shall summarize the process followed and state conclusion of the Inquiry. If the Inquiry cannot be completed within 30 calendar days, a report shall be made to the President citing progress to date, the reasons for the delay, and the estimated completion date. The Respondent and any other individual(s) involved shall be informed of the delay. If the inquiry does not produce substantial evidence of misconduct, the Provost and Vice President for Academic Affairs shall so inform the person who made the allegation, the Respondent, the Chief Legal Advisor and the President. The Provost and Vice President for Academic Affairs shall also so inform any other individual(s) involved in the Inquiry to whom the identity of the Respondent was disclosed. The Inquiry results in substantial evidence of misconduct, the Provost and Vice President for Academic Affairs shall recommend that an Investigation be conducted as outlined herein. The Complainant and the Respondent shall be notified that an Investigation will follow. The Provost and Vice President for Academic Affairs shall reach his/her determination on a case by case basis, considering all relevant factors, including, but not limited to: (1) the accuracy and reliability of the source of the allegation of misconduct, (2) the seriousness of the alleged misconduct; (3) the scope of the alleged incident and the context in which it became known; and (4) other information obtained during the inquiry. If an Investigation is initiated, any outside sponsoring agency which may be involved or have an interest in the alleged misconduct shall be notified. The Provost and Vice President for Academic Affairs in consultation with the Chief Legal Advisor shall determine what such notification will include and to whom it will be directed.

### Investigation

The purpose of the Investigation is to determine whether misconduct has been committed. Upon determining that an Investigation is warranted, the Provost and Vice President for Academic Affairs shall appoint an ad hoc Investigation Committee (herein the "Ad Hoc Committee"), the composition and size of which shall be determined by the Provost and Vice President for Academic Affairs. The Ad Hoc Committee shall include one member who possesses specialized expertise in the same field as that of the Respondent, and may include one member from outside the Institute. Once formed, the Ad Hoc Committee shall, in conducting the Investigation. The Complainant and Respondent shall be fully informed of the procedure. In undertaking this investigation, the Ad Hoc Committee shall act promptly, ensure fairness to all, secure the necessary and appropriate expertise to carry out a thorough and authoritative evaluation of the relevant evidence, and take precautions against real or apparent conflicts of interest. The Investigation may consist of a combination of activities including but not limited to: (1) review of readily available documents; (2) review of report from the Inquiry; (3) interviews of parties

and witnesses who may have been involved in or have knowledge about the case; (4) review of any document or evidence provided or properly obtainable from the parties, witnesses or other sources. The Ad Hoc Committee shall take no more than 120 days to complete the Investigation, prepare a report of its findings, including recommended action(s), and submit the report to the Provost and Vice President for Academic Affairs. The Ad Hoc Committee shall be responsible for examining all pertinent information, reviewing all records and taking statements or testimony as necessary. The Ad Hoc Committee shall provide the Respondent an opportunity to comment on the allegations and shall include his or her comments in its report. The Ad Hoc Committee shall after consultation with the Chief Legal Advisor, notify any affected outside sponsor of any developments during the course of the Investigation which disclose facts that may affect current or potential funding for the individual(s) under investigation or information that the sponsor needs to know to ensure appropriate use of funds or otherwise protect the public interest. If misconduct is confirmed, the Provost and Vice President for Academic Affairs shall impose appropriate sanctions against the Respondent. If sanctions are recommended, the Respondent may appeal the sanctions to the Faculty Status and Grievance Committee which will review the report of the Ad Hoc Committee, hold an informal hearing, and make a recommendation to the President. The President will act after considering the recommendation, and his or her action shall be final. If an appeal is not requested within 15 days of receipt of notification of the sanctions to be imposed, the Respondent shall be deemed to have waived his or her right to appeal or contest the sanctions. Possible sanctions include but shall not be limited to the following:

Removal from any and all Project(s) or Activity

Letter of Reprimand

Special Monitoring of Future Work

Salary or Rank Reduction

Termination of Employment

All interested parties shall be notified by the Provost and Vice President for Academic Affairs in writing of the final disposition of the matter. If misconduct is not substantiated, the Institution shall make diligent efforts to restore the reputation of the Respondent by promptly notifying all parties who were informed of the investigation. The Provost and Vice President for Academic Affairs may initiate appropriate action against the Complainant if the committee determines the charges were malicious or intentionally dishonest.

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Source: Vice Provost for Research and Graduate Studies Date: 7/97

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## 5.0 GENERAL INSTITUTE POLICY

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### 5.1. AFFIRMATIVE ACTION, EQUAL EMPLOYMENT OPPORTUNITY, CONFLICT RESOLUTION, SEXUAL HARASSMENT POLICY AND PROCEDURE

#### 5.1.1. STATEMENT OF THE PRESIDENT:

Reaffirmation of Equal Employment Opportunity and Affirmative Action Policies

"It continues to be the policy of the Georgia Institute of Technology, including the Georgia Tech Research Institute, to implement affirmatively equal opportunity for all employees, students, veterans, and applicants for employment or admission without regard to race, creed, color, sex, national origin, age, handicap, or veteran status. Affirmative action shall be taken to ensure fulfillment of this policy including but not limited to the following actions:

- Recruiting, enrollment, and educational practice;
- Hiring, placement, upgrading, transfer, or promotion;
- Treatment during employment;
- Recruitment, advertising for employment;
- Rates of pay or other forms of compensation;
- Selection for training;
- Protection from sexual harassment;
- Layoff or termination; and,
- Fringe benefits.

The policy of this Institute is consistent with the requirements and objectives of Executive Order 11246, 11701, and Title IX. It is our objective to enroll and provide equal educational opportunity for all qualified students and to hire, without discrimination, individuals qualified and/or trainable for positions in terms of job-related standards of education, training, experience, or personal qualifications.

In conformance with the provisions of the Rehabilitation Act of 1974 and the applicable regulations of Sections 503 and 504, the Georgia Institute of Technology does not discriminate against any employee or applicant for employment or against any student or applicant for admission because of a physical or mental handicap in regard to any position for which the employee or student is qualified.

For all employees, applicants for employment, and students with physical and mental limitations, the Georgia Institute of Technology will provide reasonable accommodations.

Responsibility for ensuring compliance and continued implementation of this policy rests with the Director for Affirmative Action (telephone 894-3249). Periodic reviews will be made to measure progress against these stated objectives as well as to consider their revision or updating.

This policy has my unequivocal support, and I request all members of the staff, faculty, and student body to join with me in order to ensure that nondiscriminatory practices are followed on our campus."

### **5.1.2. GENERAL STATEMENT ON AFFIRMATIVE ACTION/EQUAL EMPLOYMENT OPPORTUNITY**

The President's letter on Equal Opportunity is made available to the various offices on campus, and copies are on file in the Affirmative Action office and the Office of Human Resources.

The Affirmative Action Plan has been developed in compliance with the *Statutes* and rules of the Board of Regents of the University System of Georgia and the Georgia Institute of Technology and Federal Executive Order 11246, as amended.

In addition, the plan has been revised to include the requirements of the Equal Pay Act of 1963; the Civil Rights Act of 1964; the Age Discrimination Act of 1967; the Rehabilitation Act of 1973, Sections 503 and 504; the Vietnam-Era Readjustment Assistance Act of 1974; the Age Discrimination Act of 1974; the Americans with Disabilities Act of 1990; and the Civil Rights Act of 1991. The plan follows the suggested "Format for Development of an Affirmative Action Plan by Institutions of Higher Education," developed by the United States Department of Labor and issued by the Office for Civil Rights in August, 1975.

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Source: Office of the President - Date: 8/96

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### **5.1.3. PROCEDURES FOR HANDLING POTENTIAL CONFLICT SITUATIONS BETWEEN ADMINISTRATORS, FACULTY, AND STUDENTS**

#### **5.1.3.1. Student Complaints Other Than Sexual Harassment Against a Faculty Member**

##### **5.1.3.1.(a) Policy**

Feedback from students, whether of a positive or negative nature, should be used for the improvement of the educational programs of the Institute.

##### **5.1.3.1.(b) Applicable Procedure**

5.1.3.1.(b)(1) Students' complaints should be made in writing to the appropriate administrator such as School Director, Department Head or Provost and Vice President for Academic Affairs. However, in the case of an oral complaint, the administrator should make written notes about the nature of the case of an oral complaint, the administrator should make written notes about the nature of the complaint. Appropriate measures shall be taken to safeguard the student from retaliatory action.

5.1.3.1.(b)(2) The administrator *promptly* shall discuss the complaint with the faculty member to determine if it has merit. If the complaint is determined to have merit, it may be made a part of the personnel file of the faculty member only after discussion with the faculty member. However, the faculty member shall be given the opportunity to make his or her own written comments/rebuttal to the complaint. Such written comments by the faculty member shall be attached to the administrator's report in the personnel file.

*Note:* Accumulation of complaints without discussing them with the appropriate faculty member in order to use them as justification for lack of promotion or lack of salary improvement at a later time, is not permissible.

5.1.3.1.(b)(3) If the complaint is determined to have merit, then a plan of action to correct the cause of the complaint shall be worked out jointly between the administrator and the faculty member. Check points for a review of the situation are to be established at that time. A record of these actions shall be maintained in the personnel file of the faculty member.

5.1.3.1.(b)(4) If the faculty member is not satisfied with the plan of action proposed for the resolution of the student complaint, the faculty member may present the grievance to the Faculty Status and Grievance Committee.

5.1.3.1.(b)(5) If the student is not satisfied with the proposed plan of action jointly worked out between the administrator and the faculty member, the student may go to the next higher administrative level for review. (Assistance regarding procedures may be obtained from the Vice President for Student Affairs.)

### **5.1.3.2. Performance Evaluation/Salary Decisions**

#### **5.1.3.2.(a) Policy**

Annual performance evaluations are required by the Board of Regents. Such evaluations should improve the contribution of each member of the faculty to the multiple missions of the department, College, Institute, and Regents as appropriate.

#### **5.1.3.2.(b) Applicable Procedure**

5.1.3.2.(b)(1) The criteria by which performance will be evaluated are stated in the *Policy Manual of the Board of Regents* and the *Faculty Handbook* (Section 3.0.). These criteria include scholarship, teaching, and service. Further refinement on specific cases may be in order, but must be communicated in writing to the faculty at the *beginning* of the academic or fiscal year or be in a standing unit publication. All of these publications must be specifically brought to the attention of faculty members. Particular care must be exerted to make sure that new faculty are alerted to these publications.

5.1.3.2.(b)(2) The faculty member should be asked to prepare a report which documents in writing his/her contributions in all of the areas defined as relevant to achieving the defined missions of the unit. The emphasis should be not only on activity, but also on results.

5.1.3.2.(b)(3) The administrator of the unit should review all of the available materials on the performance of the subject faculty member and prepare a written evaluation of the faculty member's performance for the year to be presented to the faculty member for review at the time

of a performance evaluation conference between the faculty member and the administrator. After the faculty member has reviewed the administrator's evaluation, he/she must sign the evaluation acknowledging receipt but not necessarily agreement. Where the faculty member does not agree with this evaluation, he/she may prepare a detailed written response. The faculty member shall be informed of the unit administrator's written response to this new information. All documents whether generated by the administrator or the faculty member shall become part of the individual faculty member's file.

5.1.3.2.(b)(4) In the event that agreement between the administrator and the faculty member cannot be reached, the matter will be reviewed at the next higher administrative level, and the results communicated to the administrator and the faculty member.

5.1.3.2.(b)(5) At the time of the evaluation, or in a subsequent conference, the administrator and faculty member should discuss performance goals for the upcoming evaluation period. These should be summarized in writing by the faculty member with a copy to the administrator for review, acceptance, and filing.

5.1.3.2.(b)(6) The salary decision should be given to the individual faculty member preferably face-to-face but at a separate time following the performance review. It should follow logically from the performance review.\*

\*See *Faculty Handbook* (Section 3.0.) for general Institute policy on salary determination for instructional faculty.

### **5.1.3.3. Promotion and Tenure -- Explanation of Rights\***

#### **5.1.3.3.(a) Policy**

Promotion is a reward for performance in accordance with Board of Regents and Institute standards that have been published and distributed to all member of the General Faculty. Accordingly administrators are responsible for insuring that faculty members in their units are fully informed as to these standards and the rights defined therein.

#### **5.1.3.3.(b) Applicable Procedure**

5.1.3.3.(b)(1) The administrator of each unit should discuss with each faculty member his or her status with respect to promotion and tenure e.g., progress as to years in rank completed as compared to promotion/tenure requirements, areas where is strong, and areas where improved performance is expected in accordance with the promotion/tenure standards for the department, College, Institute, and Regents as appropriate.

5.1.3.3.(b)(2) Where a faculty member has adequate years in rank to be considered for promotion/tenure, the faculty member should be advised of the right to request consideration for promotion and tenure.

\*\*See *Faculty Handbook* (Section 3.0.) for general Institute policies and guidelines for promotion and tenure of instructional faculty.

#### **5.1.3.4. Summer Teaching\*\***

##### **5.1.3.4.(a) Policy**

Summer teaching assignments should be made in such a way as to meet the program needs of the department, to insure high quality of instruction, and within these constraints to allocate equitably the opportunities for summer income.

##### **5.1.3.4.(b) Applicable Procedure**

5.1.3.4.(b)(1) Any details concerning the implementation of this policy by an academic unit should be stated explicitly and should be made available in writing to each faculty member at the beginning of each academic year or appear in a standing unit publication.

5.1.3.4.(b)(2) As long as this general policy is applied, additional considerations may be taken into account with the general approval of the unit.

\*\*See *Faculty Handbook* (Section 3.0.) for Regents' policy on faculty summer salaries.

#### **5.1.3.5. Sanctions and Allocation of Support Services**

Support services are provided to enhance the teaching, research, and service programs of the department. Accordingly these services may not be denied to a faculty member as a sanction.

#### **5.1.3.6. General Policy for Conflict Situations**

On occasion an administrator or faculty member may feel the need for a witness to be present for the discussion of a sensitive matter. These occasions should be very rare, because the presence of witnesses may heighten tension and may indicate a lack of faith in a colleague. However, in those rare cases in which a witness is deemed necessary, there should be prior notification so the other person may also bring a witness, if he or she chooses. Alternatively, the meeting may be taped, with advance knowledge of the other party.

### **5.1.4. SEXUAL HARASSMENT POLICY AND PROCEDURE**

#### **5.1.4.1 Statement of Policy**

It is the policy of this Institute that no member of its community, including faculty, staff, or students, should be subjected to sexual harassment by another. This policy and procedure is intended to create an atmosphere in which individuals who believe that they are the victims of harassment are assured that their complaints will be dealt with fairly and effectively. Toward this end, the Georgia Institute of Technology supports the principle that sexual harassment represents a failure in ethical behavior and that sexual exploitation of professional relationships will not be condoned.

Sexual harassment is defined as unwelcome advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature when: (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or academic standing; or (2) submission to or rejection of such conduct by an individual is used as a basis for



employment or academic decisions affecting such individual; or (3) such conduct has the effect of unreasonably interfering with an individual's work or academic performance or creates an intimidating, hostile or offensive working or academic environment. Either men or women may be the initiators or victims of sexual harassment.

#### **5.1.4.2. Applicable Procedures**

Bringing a Complaint:

1. Any member of the Institute community who believes that he or she has been the victim of sexual harassment as defined above (the Complaint) should promptly report the matter to the Appropriate Institute Official designated to handle such complaints.
2. The Appropriate Institute Official to whom a complaint should be made is the Director of Employee Relations for faculty and staff, and the Dean of Students for students.
3. The initial discussion between the Complainant and the Appropriate Institute Official will be kept confidential to the greatest extent possible and dissemination of any information relating to the case will be limited, in order that the privacy of all individuals involved is safeguarded as fully as possible. The Institute will take steps to protect the Complainant from retaliatory action based upon the filing of the Complaint. The foregoing notwithstanding, the Appropriate Institute Official will inquire into all reports of alleged sexual harassment brought to his or her attention.
4. During the initial meeting with the Appropriate Institute Official, a written summary of the complaint will be made and should be signed by the Complainant.
5. The Appropriate Institute Official will inform the alleged offender ("Respondent") of the allegation and of the identity of the Complainant, will provide him or her with a written summary of the Complaint and will proceed as set forth in the following section.

#### **5.1.4.3. Resolution of a Complaint**

1. When a Complaint is submitted, the Appropriate Institute Official will discuss the matter with the parties promptly, will notify the appropriate Dean or Vice President of the charge, and will initiate whatever steps he or she deems appropriate to effect an informal resolution of the complaint acceptable to both parties. If an informal resolution is reached, it will be documented in writing, approved by the Office of Legal Affairs, and signed by the Complainant, the Respondent, and the Appropriate Institute Official.
2. If an informal resolution satisfactory to the Parties is not reached within 15 calendar days after an incident is reported, or if in the opinion of the Appropriate Institute Official, an informal resolution is not possible, the Appropriate Institute Official will proceed with a full investigation. The investigation may include interviewing witnesses identified by the parties and such other inquiries as the Appropriate Institute Official may deem necessary. A report of the investigation results along with a recommendation with regard to a resolution of the Complaint and/or disciplinary action will be made to the Associate Vice President for the Office of Human Resources or the Vice President for Student Affairs as appropriate, within 30 calendar days of the date the investigation was initiated.

3. The Associate Vice President for Human Resources or the Vice President for Student Affairs will review the results of the investigation and take or recommend appropriate disciplinary and/or other action. Individuals subject to disciplinary action may exercise their appeal rights pursuant to the procedures set forth in the Faculty Manual, the Classified Employee's Handbook, or the Student Conduct Code as appropriate.

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Source: Office of the President Date: 7/97

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## **5.2. Conflict of Interest, Consulting, Disclosure**

*Note:* For exceptions to prohibitions on transactions with state agencies pertaining to Code Sections 45-10-23 and 45-10-24, consult Georgia Code Section 45-10-25.

### **5.2.1. CONFLICT OF INTEREST**

It is essential to the proper operation of democratic government that public officials be independent and impartial, that governmental decisions and policy be made in the proper channels of the governmental structure, that public office not be used for private gain other than the remuneration provided by law, and that there be public confidence in the integrity of government. The attainment of one or more of these ends is impaired whenever there exists a conflict between the private interests of an elected official or a government employee and his or her duties as such. The public interest, therefore, requires that the law protect against such conflicts of interest and establish appropriate ethical standards with respect to the conduct of elected officials and government employees in situations where conflicts exist. In conformity with the statutes and regulations of the State of Georgia and the United States of America, the Georgia Institute of Technology has adopted the following policy.

Set forth below are: the definitions of terms used in this section; a detailed discussion of the permitted consulting activities; and a discussion of prohibited activity that would constitute a conflict of interest.

Definitions as used in this policy, the term:

1. "Agency" means any agency, authority, department, board, bureau, commission, committee, office, or instrumentality of the State of Georgia.
2. "Business" means any corporation, partnership, proprietorship, firm, enterprise, franchise, association, organization, self-employed individual, trust or other legal entity.
3. "Conflict of interest" means any situation in which (I) it reasonably appears that a significant financial interest could affect the design, conduct, or reporting of activities funded or proposed for funding by a sponsor, or (ii) the personal interest of an employee or his or her family may prevent or appear to prevent the employee from making an unbiased decision with respect to the employee's employment with the institution (including, without limitation, situations when the employee or a member of his or her family has a significant financial interest in a business which competes or may compete with the Georgia Institute of Technology for sponsored activities).

4. "Consulting" means any professional activity related to the person's field or discipline, where a fee-for-service or equivalent relationship with a third party exists. Consulting includes organizing or operating any educational program outside Georgia Institute of Technology.
5. "Employee" means any person who, pursuant to a written or oral contract, is employed by an agency.
6. "Family" means spouse and dependents.
7. "Full-time" means 30 hours of work for the state per week for more than 26 weeks per calendar year.
8. "Investigator" means the principal investigator, co-principal investigators, and any other person at the institution who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by a sponsor.
9. "Part-time" means any amount of work other than full-time work.
10. "Person" means any person, corporation, partnership, proprietorship, firm, enterprise, franchise, association, organization, or other legal entity.
11. "Public Official" means any person elected to state office and means any person appointed to a state office where in the conduct of such office the person so appointed has administrative and discretionary authority to receive and expend public funds and to perform certain functions concerning the public which are assigned to him or her by law.
12. "Responsible representative of the institution" means: School Chair, Department Chair or Laboratory Director for faculty; Dean or Vice President for School Chair or Laboratory Director; Provost for Dean or Vice President; President for Provost and other direct reports; Appropriate Vice President, Dean, Department, Chair or Director for staff, or Vice Provost for Continuing Education when faculty are involved in the organization or operation of non-institute continuing education programs.
13. "Significant financial interest" means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, trademarks, copyrights and royalties from such rights). The term does not include: salary, royalties or other remuneration from the institution, or any ownership interests in the institution, if the institution is an applicant under the Small Business Innovation Research Program or Small Business Technology Transfer Program; income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; income from service on advisory committees or review panels for public or nonprofit entities; or an equity interest that, when aggregated for the investigator and the investigator's spouse and dependent children, meets both of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than 5% ownership in any single entity, or salary, royalties or other payments that, when aggregated for the investigator and the investigator's spouse and dependent children, are not expected to exceed \$10,000 during the next twelve-month period.

14. "Substantial interest" means the direct or indirect ownership of more than 25 percent of the assets or stock of any business.
15. "Transact business" or "transact any business" means to sell or lease any personal property, real property, or services on behalf of oneself or on behalf of any third party as an agent, broker, dealer, or representative and means to purchase surplus real or personal property on behalf of oneself or on behalf of any third party as an agent, broker, dealer, or representative.

## **5.2.2. CONSULTING**

### **5.2.2.1. Principles and General Standards**

The institute encourages and intends to assist all of its faculty members in the practice of their professions. It especially encourages them to consult. The practice of consulting calls for the faculty member to enter the non-academic world as a professional, usually as a teaching professional, with special disciplinary talents and knowledge. The Institute approves of such practices and set forth below are the principles and general standards for such practices.

Consulting can provide an important means of continuing education of the faculty and can provide them with a currency and experience in aspects of their professional field outside the context of the Institute itself. Though such attributes of consulting may make faculty better scholars and teachers, the employer-employee nature of the consulting process has in it the potential for diversion of faculty from their primary activities and responsibilities.

The basic principle of this policy statement, therefore, is that there needs to be a limitation upon the time that a Georgia Tech faculty member may spend in consulting. The purpose of the policy on consulting and related activities is to state with both clarity and generality the limits on such activities and the reasons for those limits. The limits set forth below are intended to strike a balance between consulting and regular faculty duties within the Institute and serve to safeguard the interest of both parties. In cases of ambiguity, the primary guide should be the intention to promote the interests of the Institute as a place of education, learning and research. It is the faculty member's obligation to obtain prior consent from the appropriate Institute officer.

As stated above, Georgia Tech encourages and assists faculty members in the practice of their profession. The Institution particularly encourages faculty to consult, providing guidelines for this type of activity. It must be recognized, however, that professional consulting activities and involvement in business ventures can result in an apparent or actual conflict of interest with Georgia Tech. This policy provides several principles which should be followed to avoid conflicts.

It is not possible to anticipate all types of potential outside involvements. It is, therefore, always a faculty member's obligation to obtain prior written consent from his or her School Chair or Laboratory Director, Dean, or Director of GTRI, and the appropriate Institute officer before undertaking any activities. Written consent must be obtained by completing and obtaining authorization on a "Georgia Institute of Technology Report on Outside Professional Activity and Potential Conflict of Interest" form. Referred to as the "Request Form", these forms are available in each school and provided in Appendix 5.2. in this handbook.

In the case of a faculty member organizing or generating any continuing educational program not affiliated, sponsored, or endorsed in any way by the Institute, the faculty member must obtain permission from the Vice Provost for Continuing Education as indicated on the Request Form.

In competing for consultancies, faculty members are not to take advantage of their access to Georgia Tech facilities. State law precludes Georgia Tech employees from using State facilities or property for personal gain or benefit. Under appropriate circumstances, facilities may be used with approval and with appropriate charges made for use.

Full-time Georgia Tech employees may not be on the payroll of other organizations except as a consultant. (Payment for services must be reported on an IRS 1099 Form, not on a W2 form.) To be listed otherwise may be in conflict with OMB Circular No. A-21 and result in financial penalties against Georgia Tech.

Members of the faculty may, for tax liability reasons, undertake consulting assignments through a personal corporation. This is not considered a conflict of interest in and of itself. However, see the "Prohibited Activities" subsection set forth below.

#### **5.2.2.2. Activities Not Considered "Consulting"**

##### **5.2.2.2.(a) Publication**

Scholarly communications in the form of books, movies, television productions, art works, etc. though frequently earning financial profit for a faculty member and for another party (e.g., publisher), are not viewed as consultation. To attempt to distinguish between types of books, to assess the roles of book publication in different disciplines, or to challenge the historical relation between authorship and manuscript ownership would be fraught with danger and confusion. These reservations apply equally to the other types of scholarly communications cited.

##### **5.2.2.2.(b) Professional Service**

Under this category fall service on national commissions, on governmental agencies and boards, on granting agency peer-group review panels, on visiting committees or advisory groups to other universities, and on analogous bodies. The fundamental distinction between these activities and consulting is that they are public or Institute service. Although an honorarium or equivalent sometimes is forthcoming, these professional service activities are not undertaken for personal financial gain. Therefore, such service does not fall within the consulting category.

##### **5.2.2.2.(c) "Moonlighting"**

Faculty members may pursue a variety of endeavors for financial profit that are not directly related to the persons field or discipline. These efforts are part of the faculty member's private life and do not come under Institute regulation for this consulting policy. To emphasize again, however, such endeavors may be pursued only after the primary commitment to Georgia Tech has been fulfilled.

### **5.2.2.3. The Number of Permissible Consulting Days**

The maximum number of consulting days permissible for a member of the General Faculty on a full-time appointment is thirteen days per academic quarter. Eight hours consulting is equivalent to one day. Institute holidays are included in each thirteen-week academic quarter from which the thirteen-day consultation limit is derived. A limited amount of "averaging" of consulting time among full-time quarters is permissible if, on occasion, a faculty member plans to consult for more than thirteen days in one quarter but no more than thirty-nine days for three academic quarters. Thirteen days of consulting per quarter, or fifty-two days for four quarters of active duty, is intended to be a liberal allocation, yet one that is fair to the Institute.

### **5.2.2.4. Consulting During Periods of Part-time Institute Employment**

The thirteen-day limit should be prorated for those members of the General Faculty holding part-time appointments, using the following formula:  $[13 \times F + (1-F) \times 6 \times 13]$ , where F is the fraction of full-time duty, thirteen represents the average number of weeks per quarter, and six represents the maximum number of days per week which are likely to be devoted to professional activities during the period of off-duty time. Thus, a faculty member holding a seventy-five (75%) appointment is permitted up to twenty-nine days of consulting per quarter.

### **5.2.2.5. Responsibilities of Faculty Members**

Consulting is encouraged, provided the faculty member's primary obligation to the Institute is met. The responsibility for adhering to the limit on consulting days, and other aspects of the Institute's consulting policy, lies first with the individual faculty member. Faculty members have an obligation to report, fully and currently, the level of their consulting activities. Faculty members should resolve any questions or ambiguities with the appropriate Institute official before the fact, so that the Institute community is not injured by their actions. The Institute has the right, and indeed, the obligation, to protect itself from losses due to excess consulting.

### **5.2.2.6 Use of Institute Facilities or Services**

The facilities and services of the Institute may not be used in connection with compensated outside work, except in a purely incidental way. This is not envisioned to exclude contracts with the Institute for the use of facilities or services such as the Computer Center or the Library.

### **5.2.2.7. Consulting During the Fourth Quarter or During Periods of Leave Without Salary**

Faculty members on nine-month appointments with no salary supplement for the fourth quarter (usually, but not always, the Summer quarter) are not subject to the thirteen-day limit during that quarter. Nor does the limit apply to faculty members on leave without salary. If the faculty member receives a salary for full-time service during the summer, the regular thirteen-day consulting limit shall apply.

### **5.2.2.8. Consulting While on Study Leave**

The purpose of study leave is to permit faculty members to take time off from normal Institute duties to advance their scholarly interests so that they may return to their posts with renewed

vigor, perspective, and insight. A faculty member on study leave receiving full-time Institute salary may consult up to the regular thirteen-day limit per quarter during the period of sabbatical.

#### **5.2.2.9. Consulting Services for Other State Offices**

As a general rule employees of the Institute may not receive compensation for services performed for other state offices (Georgia Code Section 45-10-20). Employees of one State agency may teach or work as consultants for another state agency provided they fall within one of the following classifications and provided they meet the conditions stated below.

#### **5.2.2.10.**

Employees of one stake agency may teach or work as consultants for another state agency if the transaction involves part-time employment by any agency of a chaplain, fireman, any person holding a doctorate or master's degree from an accredited college or university, a licensed physician, dentist, psychologist, registered nurse or a licensed practical nurse, if employed by the State.

The chief executive officer of the department or agency desiring to obtain the services of a person falling within the class of exceptions shall certify in writing the need for the services and shall set forth why the best interest of the state will be served by obtaining the part-time services of such a person in lieu of obtaining such services from a person not presently employed by the State.

The chief executive officer of the department or agency employing the person in the class of exceptions shall certify in writing that the person whose services are desired is available to perform such services, that the performances of such services will not detract nor have a detrimental effect on the performance of the person's employment, and, where appropriate, that the part-time employment of this person will be in the best interest of the State.

The two departments or agencies involved will then agree on the procedures under which the employee shall perform the additional services. The agreement shall specify the means of employment, whether as a part-time employee or as a consultant, the compensation, and other pertinent details and conditions of the employment relationship. The agreement may be terminated at any time by either of the parties to the agreement.

#### **5.2.2.11. Prohibited Activities**

No employee shall undertake any activity which constitutes a conflict of interest except as may be expressly approved and/or pursuant to the provisions of this policy.

It shall be unlawful for any full-time employee, for himself or herself, or on behalf of any business, or for any business in which such employee or member of his or her family has a substantial interest to transact any business with the agency by which such employee is employed; provided, however, that neither this section nor any other provision of law shall prevent full-time employees of the Board of Regents of the University System of Georgia from serving as members of governing boards of private, nonprofit, educational, athletic, or research related foundations and associations which are organized for the purpose of supporting institutions of higher education in this state and which in furtherance of this purpose may

transact business with such institutions or with the Board of Regents of the University System of Georgia.

Except as expressly permitted by law, it shall be unlawful for any part-time employee, for himself or herself, or on behalf of any business, or for any business in which such employee or member of his or her family has a substantial interest to transact any business with the agency by which such employee is employed.

See Official Code of Georgia Annotated Section 45-10-20 et seq.

### **5.2.3. DISCLOSURE TO THE STATE OF GEORGIA**

Except as provided in subsection (b) of the Official Code of Georgia Annotated Section 45-10-26, any public official or employee whether for himself or herself, or on behalf of any business, or any business in which such public official or employee or any member of his family has a substantial interest who transacts business with the state or any agency thereof shall disclose such transactions. Such disclosure shall be submitted prior to January 31 each year to the Secretary of State on such forms as he or she shall prescribe and shall include an itemized list of the previous year's transactions with the dollar amount of each transaction reported and totaled. Such disclosure statements shall be public records.

#### **5.2.3.1. Disclosure to the Institution and Sponsor**

Every faculty member shall disclose any conflict of interest which arises during the course of the employee's employment to a responsible representative of the institution. The reporting of a conflict of interest shall be aided by the completion of the "Georgia Institute of Technology Report on Outside Professional Activity and Potential Conflict of Interest" form. Every faculty member must submit a completed Request Form at least annually on July 1st of each year to the responsible representative of the institution. The Request Form shall be updated by the faculty member if the facts reported in the form change.

Every investigator shall, prior to making a proposal to a sponsor, disclose a responsible representative of the institution, via the Request Form, all significant financial interests of the investigator (including those of the investigator's spouse and dependent children) (I) that would reasonably appear to be affected by such activities. Each such financial disclosure shall be updated by the investigator during the pendency of any award, as new reportable significant financial interests are obtained.

Every investigator shall include the following language in any Request Form submitted to the responsible representative of the institution:

"I certify that I have read and understood the Institute's conflict of interest policy; to the best of my knowledge, all required financial disclosures were made; and I will comply with any conditions or restrictions imposed by the Institute to manage, reduce or eliminate conflicts of interest."

#### **5.2.3.2. Review of Financial Disclosures and Resolution of Conflicts of Interest**

The responsible representative of the institution to whom a financial disclosure or report of a conflict of interest is made shall review the disclosure and shall make a determination whether a



conflict of interest exists. A conflict of interest exists when the representative reasonably determines that a significant financial interest could directly and significantly affect the design, conduct, or reporting of the research or educational activities funded or proposed for funding by a potential sponsor. Should a conflict of interest exist, the responsible representative of the institution shall determine what restrictions, if any, should be imposed by the institution to manage, reduce or eliminate such conflict of interest prior to the institution's expenditure of any such funds.

In any proposal submitted to a potential sponsor, the responsible representative of the institution shall certify that the institution has implemented a written and enforced conflict of interest policy that is consistent with the provisions of Grant Policy Manual Section 510 of the National Science Foundation, and that to the best of his/her knowledge all financial disclosures required by such conflict of interest policy have been made and that all identified conflicts of interest will have been satisfactorily managed, reduced or eliminated prior to the institution's expenditure of any funds under the award, in accordance with the institution's conflict of interest policy.

Conditions or restrictions which may be imposed to manage, reduce or eliminate conflicts of interest include, without limitation: public disclosure of significant financial interests; monitoring of research by independent reviewers; modification of the research plan; disqualification from participation in the portion of the sponsor funded research that would be affected by the significant financial interests; or divestiture of significant financial interests; or severance of relationships that create actual or potential conflicts.

Should the responsible representative of the institution determine that imposing conditions or restrictions would be either ineffective or inequitable and that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, then the responsible representative or the institution may allow research to go forward without imposing such conditions or restrictions.

Should the responsible representative of the institution find that the institution is unable to satisfactorily manage a conflict of interest prior to the Institution's expenditure of any such funds, that representative shall immediately notify the Office of Contract Administration who shall inform the sponsor.

All determinations made or actions taken by a responsible representative of the Institution shall be in writing and shall, together with all financial disclosures made hereunder, be maintained until at least three years after the later of the termination or completion of the award to which they relate, or the resolution of any government action involving those records.

#### **5.2.4. PENALTIES**

5.2.4.1. Any employee who violates this policy shall be subject to disciplinary action up to and including dismissal.

5.2.4.1. Any appointed public official or employee who violates Official Code of Georgia Annotated Section 45-10-23 ("Full-time employees prohibited from transacting business with own state agency; exception to prohibition for Board of Regents employees"), Section 45-10-24 ("Part-time public officials with state-wide powers prohibited from transacting business with any state agency; part-time employees prohibited from transacting business with own state agency;

exceptions to prohibitions"), or Section 45-10-26 ("Public officials and employees to file yearly disclosure statements concerning business transactions with state; statements to be public records") shall be subject to:

- Removal from office or employment;
- A civil fine not to exceed \$10,000.00; and
- Restitution to the state of any pecuniary benefit received as a result of such violation.

5.2.4.3. Any business which violates Code Section 45-10-23, 45-10-24, or 45-10-26 shall be subject to:

- A civil fine not to exceed \$10,000.00; and
- Restitution to the state of any pecuniary benefit received as a result of such violation.

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Source: Office of the President Date: 7/97

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## **5.3 Public Service Programs**

### **5.3.1 DISTANCE LEARNING**

The Center for Distance Learning provides a way for individuals to enroll in Georgia Tech graduate courses that can be applied toward a master's degree in Electrical Engineering, Environmental Engineering, Health Physics/Radiological Engineering, Industrial Engineering and Mechanical Engineering. This distance learning program allows individuals to advance professionally and to stay on the cutting edge of their area of specialty. The Georgia Tech Center for Distance Learning provides credit and non-credit courses via videotapes, satellite, teleconferencing, the Internet, the Georgia Statewide Academic and Medical System (GSAMS), CD-ROM and microwave.

### **5.3.2 CONTINUING EDUCATION**

The Department of Continuing Education assists faculty with planning, marketing, and facilitating of continuing education programs. Assistance is provided with both speculative and contract programs, offered on campus and at remote sites. Advance approval must be obtained for all continuing education programs using the Continuing Education Program Proposal Routing Sheet.

The Department of Continuing Education's services must be utilized for all non-academic credit courses, conferences, seminars, workshops, and institutes, both on and off campus, in which participants are charged a registration fee.

Georgia Institute of Technology is required by the University System of Georgia, and by the Southern Association of Colleges and Schools, to report all activities which qualify for Continuing Education Units (C.E.U.s), eg., short courses, contract courses, and conferences. All candidate activities are to be reported to the Department of Continuing Education.

Part of Georgia Tech's annual state funding is determined by the number of CEU's reported. In the event your conference is administered by a professional association, you can still help Georgia Tech by reporting your CEUs. Simply provide the Continuing Education Department with a participant roster, agenda, and brochure. We will calculate and report CEUs for you. Help increase Georgia Tech's annual funding by calling Continuing Education at 404-894-8571.

Faculty participation in short courses coordinated by other organizations will only be permitted with the prior written consent of the faculty member's School Chair or Laboratory Director, Dean, or Director of GTRI, and the appropriate Institute officer.

Teaching short courses at or for other organizations is not considered consulting.

Examples of non-Georgia Tech short course involvements for which approval may be given include:

Teaching one-half day, or less, in a short course organized by another university.

Teaching in a short-course run by a professional society that is a part of a series with a long history.

### **5.3.2.1. Extra Compensation**

Extra compensation may be paid to Georgia Tech faculty member only if this form is submitted and approved by the appropriate administrators. All requests for payment of extra compensation are to be submitted within one week after the end of the program to facilitate final accounting.

When faculty members participate in conducting Continuing Education programs, they are eligible to receive extra compensation at the following rates:

Instructional Hours: To be determined by the offering unit.

Laboratory Hours: One-half (1/2) of the above instructional hourly rate.

Administrative Hours: One-third (1/3) of the above instructional hourly rate. Program design, marketing, coordination and evaluation are encompassed in this category.

There is no limit on substitute compensation up to one hundred percent (100%) of the faculty member's normal salary during the fiscal year, academic year, or the Summer quarter. Faculty members may participate in Continuing Education programs for extra compensation up to a maximum of one hundred instructional hours total or equivalent administrative or laboratory compensation per quarter, providing that this participation does not interfere with their regular assigned duties. There is no limit on the number of hours a faculty member can participate for extra compensation during the Summer quarter if he/she is not on compensated duty during the Summer quarter.

Graduate students may receive compensation at a rate up to \$25 per hour for assisting in a Continuing Education program provided they obtain prior permission from their School Chair. All exceptions to this extra compensation policy must be approved in writing by the Provost, Dr. Michael Thomas.

### **5.3.2.2. Credit for Reappointment, Promotion, and Tenure**

Instructional faculty members are encouraged to cite and document participation in Continuing Education programs to support their representations of teaching, creativity, or service activities when being reviewed for reappointment, promotion, and tenure. If included under the category of teaching, instructor evaluations from program attendees are to be included in the documentation.

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Source: Director, Continuing Education  
Date: 6/99

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### **5.3.3. STUDY ABROAD**

Georgia Tech organizes a number of programs each year, primarily during Summer Quarter, in which faculty members lead a group of students abroad to take courses for a period of five weeks to one year. Faculty members interested in organizing a study abroad program should consult the "Manual for Directors of Study Abroad Programs" which provides information regarding the policies and procedures for Georgia Tech programs as well as information on marketing, recruiting, and other general topics related to managing a study abroad program. Copies of the manual are available upon request from the Study Abroad Office, Room 123, Student Services Building, 894-7477, [study.abroad@gatech.edu](mailto:study.abroad@gatech.edu).

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Source: Study Abroad Office Date: 7/97

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## **5.4. Policy Regarding Software Piracy**

### **5.4.1. POLICY**

Georgia Tech is both a major licensee and also a licensor of computer software. As a consumer, we use thousands of software products ranging from off-the-shelf microcomputer packages to mainframe operating systems and applications costing thousands of dollars. As a producer, we license to others several products which bring in significant annual revenues, part of which is returned to authoring faculty members through a generous compensation system.

Virtually all of these software products are licensed to the user under the copyright laws of the United States. The unauthorized duplication, operation on machines other than for which licensed, or other "piracy," is a violation of Federal law, and may expose the individual and the Institute to legal processes.

Commercial software vendors are becoming increasingly aggressive in enforcing their rights under the copyright laws. For example, a recently completed arrangement with Digital Equipment Corporation provided a wide range of software to Georgia Tech users of Vaxstation class machines at nearly token prices. Digital has, however, reserved the right to audit the use of the software, and intends to do so. Digital is committed to prosecuting violations of its rights under the copyright laws. This attitude is typical of the industry, and is subjecting an increasing number of institutions and individuals to legal actions.

It is the policy of Georgia Tech that the copyright laws will be obeyed in all instances. The practice of illegally using or copying software will not be condoned, officially or unofficially, by any Georgia Tech official, and is not to be indulged in by any member of the Georgia Tech community. Those in positions of authority are expected to discourage software piracy in the strongest terms. No institutional support can be expected nor provided to those who violate such software licenses.

Cost may not be used as an excuse. Departments and Schools should ensure that funds are made available to purchase legally the software necessary to perform required functions. We expect those who license software from us to pay for value received; we expect that they will follow the letter of the law and compensate us for their use of our products. We can ask no less of ourselves as users.

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Source: Vice President for Research and Graduate Programs -Date: 8/96

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## **5.5. Trademark Management**

### **5.5.1. INTRODUCTION**

The use of Georgia Tech's name, graphic symbols, and logos (known collectively as the "marks" of the Institute) is governed by the Institute's Trademark Management Program.

The policies and programs described herein do not represent the trademark programs of other corporations affiliated with Georgia Institute of Technology, such as the Georgia Tech Alumni Association, Georgia Tech Research Corporation, Georgia Tech Athletic Association, or others. If there is any question about whether some name or symbol connected with Georgia Tech might be registered or copyrighted by any of these agencies, inquiries should be made through both the U.S. Patent and Copyright Office and Georgia Tech's Office of External Affairs.

### **5.5.2. AUTHORITY**

The marks of the Georgia Institute of Technology are properties of the University System of Georgia. The University System has authorized the Georgia Tech Foundation, Inc. to register these marks and manage their applications on behalf of Georgia Tech and the University System. This authority includes the licensing of commercial and promotional uses of the marks and collection of royalties for the benefit of Georgia Tech. The authority also covers control of any other uses of the marks, such as in fund-raising programs, in names of business enterprises, and in advertising and promotional programs of various businesses and organizations.

Georgia Tech's Trademark Management Program is operated by the Office of External Affairs on behalf of the Georgia Tech Foundation.

### **5.5.3. PURPOSE OF THE PROGRAM**

Georgia Tech's marks are used to identify the Institute and its various programs, services, documents, publications, and products. The main purpose of the Trademark Management Program is to ensure that the marks are used appropriately, in good taste, and with quality

reproduction. Likewise, the program seeks to avoid misrepresentations of the Institute to the public.

Georgia Tech's marks should not be used in ways that imply the Institute's endorsement of commercial products or services, or endorsement of causes or organizations not a part of the Institute. Further guidelines for the use of each mark, including standard colors, may be obtained on request from the Office of External Affairs.

Another objective of the program is to collect royalties on commercial /promotional applications of the marks, so that Georgia Tech shares in the revenues of enterprises that use Tech's marks. This objective is achieved through a licensing program that governs commercial/promotional applications.

#### **5.5.4. INTERNAL USE OF MARKS**

All organizational units of the Institute, including chartered student groups, are encouraged to use the officially registered marks for identification and decoration purposes on stationery, business cards, reports, signs, flags, uniforms, and other materials. For such customary applications no approval is required. Camera-ready graphics are available through the Office of External Affairs.

Any intended use for the following purposes must be approved in advanced by the Office of External Affairs:

- Fund raising;
- Selling products or services; or
- Promoting political ideologies or candidates.

For example, faculty and staff members who engage in consulting work should not use the Georgia Tech name or other marks in ways that would imply that their services or business ventures are officially connected with or endorsed by Georgia Tech, unless the specific use has been approved in advance. Products displaying Georgia Tech marks should not be marketed without prior approval. Approval of such uses of Tech's marks will normally involve a licensing agreement.

#### **5.5.5. USES BY ENTITIES OUTSIDE GEORGIA TECH**

Any individual, organization, agency, or company not a part of the Institute that wishes to use a registered Institute mark must apply in advance for permission and, in most cases, must obtain a licensing agreement from the Office of External Affairs or from its licensing agent.

#### **5.5.6. USE OF FUNDS**

The net revenues to the Georgia Tech Foundation from the Trademark Management Program are used for undergraduate scholarships and student development. These funds are administered by the Licensing Advisory Committee and are allocated for scholarships, internships, and awards on an annual basis.

### **5.5.7. ILLUSTRATION OF MARKS**

The accompanying list and illustrations display only the marks covered under the Trademark Management Program as of the date of printing this Handbook. Other marks may be added after that date. (See Appendix 5.8.7. in the Appendices.)

#### **5.5.7.1. Federally Registered Names**

- Georgia Institute of Technology;
- Georgia Tech;
- Tech (state registration only);
- Yellow Jackets;
- Ramblin' Wreck;
- The Whistle;
- The Technique;
- The Blueprint;
- GTEL (Georgia Tech Electronic Library); and
- Buzz.

#### **5.5.7.2. Federally Registered Marks**

See accompanying illustrations.

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Source: Vice President for External Affairs Date: 7/97

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## **5.6. Corporate Liaison Program**

The Corporate Liaison Program, established in 1981, is Georgia Tech's mechanism for managing and supporting intensive interaction with companies interested in Tech's research, students, and faculty. The program helps structure a special relationship by bringing the company's personnel into direct and frequent contact with Georgia Tech's personnel. Through such contact, information about research programs and new developments is exchanged; the needs of business are made clear to the faculty and students, and the corporation's image is projected and enhanced on campus in the areas of greatest interest to the participating company.

Participation in the Corporate Liaison Program is effected through a membership contribution of not less than \$20,000 *per annum* to the Georgia Tech Foundation, Inc., a tax-exempt 501(c)3 organization. The membership fees are partially allocated to faculty and staff members and their component organizations participating in the Corporate Liaison Program. For additional information, contact the CLP Office at 894-7488.

Source: Vice President for External Affairs Date: 8/96

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## **5.7. Solicitation, Acceptance, and Processing of Gifts**

Support from private sources is becoming increasingly important to the continuation of the quality instruction, research and service functions that are a trademark of the Georgia Institute of Technology. The Office of External Affairs is eager to promote and assist in the successful solicitation of the private sector.

All Deans, School Directors, Department Heads, faculty, and staff initiating attempts to obtain gifts or private, non-contractual grants should coordinate their efforts with the Office of External Affairs, through the Office of Constituency Research. Such coordination should begin *before making formal contact* with a new funding source and continue on a regular basis for those individuals and organizations that provided support previously.

Prior to the formal submission of written proposals to private funding sources, (i.e., individual, private foundations, corporations, or corporate foundations) the Transmittal Form for Private Gift Proposals (see Appendix 5.7. in the Appendices) should be approved through the appropriate administrative channels.

The Vice President for External Affairs is also the Georgia Tech official authorized to accept all gifts made in support of the Institute, its parts, and those affiliated organizations that raise funds in Georgia Tech's name. This authority includes gifts of equipment and other property as well as cash and securities. Such acceptance of most gifts offered will be routine; however, gifts which may obligate the Institute beyond the approved budget or program of a College, School, or Department should be discussed in advance with the Vice President for External Affairs.

All gifts to Georgia Tech will be acknowledged by the Vice President for External Affairs or his designee. Other acknowledgments are strongly encouraged. Copies of acknowledgments will be distributed to the proper offices.

It has been the policy to encourage donors to make all gifts for academic purposes to the Georgia Tech Foundation, Inc., rather than to the Institute proper. Anyone soliciting support for the programs at the Institute should request that the donation be made to Georgia Tech Foundation, Inc. rather than to the Institute.

All checks or securities intended as donations to Georgia Tech and payable to Georgia Tech Foundation, Inc. should be forwarded with the original letter of transmittal promptly to the Office of External Affairs--Gift Receipts. All checks or securities payable to the Institute should be forwarded to the Bursar's office for further handling. Contributions intended for the Foundation but made payable to the Institute or one of its units may be transferred to the Foundation on receipt of written documentation of the donor's intent.

Exceptions to the policy of making all gifts to the Georgia Tech Foundation, Inc., include donations of: (a) instructional and research equipment; and (b) books and other library materials. Donors should make these gifts directly to the Institute. The Vice President for External Affairs (Gift Receipts) should receive all documents regarding gifts of equipment, including the original letter of transmittal, as well as tax forms and other documents requiring signatures. The Vice



President for External Affairs and the Dean and Director of Libraries should receive all documents regarding gifts of books and other library materials.

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Source: Vice President for External Affairs Date: 8/96

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## **5.8. Travel Regulations**

Travel Regulations can be found in the Georgia Tech Administrative Policies and Procedures Manual under Business and Finance, Section 6.0 Travel or at the world wide web location: <http://www.gatech.edu/business/business/travel/index.html>.

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Source: Office of Planning, Business, and Finance Date: 7/97

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## **5.9. Disruptive Behavior\*\***

The following is the policy of the Board of Regents regarding disruptive behavior in any institution of the University System. Any student, faculty member, administrator, or employee, acting individually or in concert with others, who clearly obstructs or disrupts, or attempts to obstruct or disrupt any teaching, research, administrative, disciplinary, or public service activity, or any other activity authorized to be discharged or held on any campus of the University System is considered by the Board to have committed an act of gross irresponsibility and shall be subject to disciplinary procedures, possibly resulting in dismissal or termination of employment.

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Source: (BR Minutes, 1968-69, pp. 166-168; 1970-71, p. 98)  
\*\**The Policy Manual of the Board of Regents*, Section 1903.

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## **5.10. Teaching Guidelines**

### **5.10.1. EXAMINATIONS AND QUIZZES**

#### **5.10.1.1(a)**

In all courses students should receive some performance evaluation prior to the end of the 5th week of the term.

#### **5.10.1.1(b)**

The following policy applies only to Standard Terms. Quizzes and tests may not be given during the week preceding final exams. No final exam will be given earlier than final exam week under any circumstances. All quizzes and tests must be graded and returned on or before the last day of class preceding final exam week.

**5.10.1.2.**

Each regularly scheduled lecture course of the Institute shall have a final examination which is to be administered at the time specified in the official final examination schedule as distributed by the Office of the Registrar.

**5.10.1.3(a)**

A change in the period for a final examination for an individual student will not be permitted, ordinarily; but such change may be allowed for hardship cases at the discretion of the instructor. The request for a change must be justified in writing by the student and should be submitted to the instructor prior to final examination week.

**5.10.1.3(b)**

Requests to change a class examination time must be submitted to the chief academic officer of the department of instruction for approval or disapproval no later than one week before the beginning of final examinations. Any such request must have unanimous approval of the class as shown by secret ballot, as well as approval by the instructor of the class.

**5.10.1.3(c)**

In courses such as seminars and laboratories not lending themselves to final examinations, the decision to give or not to give a final quiz should be made by the person in charge of the course. An announcement of policy should be made to the class at its first meeting.

**5.10.1.3(d)**

In the event a student has two examinations scheduled for the same period, the conflict shall be resolved by the course having the lowest number being considered in conflict. The final examination in that course shall be given during the conflict examination period or, by agreement of the instructor and the student, at a mutually satisfactory time.

**5.10.1.3(e)**

In the event a student is scheduled for three examinations in one day, that examination scheduled for the middle period shall be considered in conflict and the conflict shall be resolved by making the examination given during the conflict period or at some time mutually agreed upon by the instructor and the student.

**5.10.2. MID-TERM GRADES**

Mid-term grades will be submitted to the Registrar on all classes numbered 1000 and 2000 each term. These grades will be used for the advisement of students, not for the calculation of any GPA at Georgia Tech. Mid-term grades will be S or U (a grade of U indicates that based on work completed to that point the student's standing is in the D or lower range). They will be submitted by midterm, as specified by the official calendar, and be available to students no later than the following Monday.

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Source: Approved by Academic Senate Date: 4/01

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### **5.10.3. MAINTAINING ACADEMIC HONESTY**

A brochure outlining academic conduct rules, ideas on preventing academic dishonesty, and procedures on how to handle cases involving academic dishonesty, if they occur, is distributed to all faculty annually.

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Source: Undergraduate Curriculum Committee Date: 8/96

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### **5.10.4. GEORGIA INSTITUTE OF TECHNOLOGY ACADEMIC HONOR CODE**

#### **Article I: Honor Agreement**

Having read the Georgia Institute of Technology Academic Honor Code, I understand and accept my responsibility as a member of the Georgia Tech Community to uphold the Honor Code at all times. In addition, I understand my options for reporting honor violations as detailed in the code.

#### **Article II: Honor Code**

##### Section 1. Statement of Purpose

The members of the Georgia Tech Community believe that a fundamental objective of the Institute is to provide the students with a high quality education while developing in them a sense of ethics and social responsibility. We believe that trust is an integral part of the learning process, and that self discipline is necessary in this pursuit. We also believe that any instance of dishonesty hurts the entire community. It is with this in mind that we have set forth an Academic Honor Code at Georgia Tech.

##### Section 2. Objectives

An Honor Code at Georgia Tech aims to cultivate a community based on trust, academic integrity and honor. It specifically aims to accomplish the following:

Ensure that students, faculty and administrators understand that the responsibility for upholding academic honesty at Georgia Tech lies with them;

Prevent any students from gaining an unfair advantage over other students through academic misconduct; Ensure that students understand that academic dishonesty is a violation of the profound trust of the entire academic community.

Clarify what constitutes academic misconduct among students at Georgia Tech and what is expected of them by the Institute, the faculty, and their peers; Cultivate an environment at Georgia Tech where academic dishonesty is not tolerated among the students; Secure a centralized system of education and awareness of the Honor Code.

##### Section 3. Student Responsibilities

Students are expected to act according to the highest ethical standards. The immediate objective of an Honor Code is to prevent any students from gaining an unfair advantage over other

students through academic misconduct. The following clarification of academic misconduct is taken from Section XIX. Student Conduct Code, of the Rules and Regulations section of the Georgia Institute of Technology General Catalog: Academic misconduct is any act that does or could improperly distort student grades or other student academic records. Such acts include but need not be limited to the following:

Possessing, using or exchanging improperly acquired written or verbal information in the preparation of any essay, laboratory report, examination, or other assignment included in an academic course; Substitution for, or unauthorized collaboration with, a student in the commission of academic requirements; Submission of material that is wholly or substantially identical to that created or published by another person or persons, without adequate credit notations indicating authorship (plagiarism); False claims of performance or work that has been submitted by the claimant; Alteration or insertion of any academic grade or rating so as to obtain unearned academic credit; Deliberate falsification of a written or verbal statement of fact to a member of the faculty so as to obtain unearned academic credit; Forgery, alteration or misuse of any institute document relating to the academic status of the student.

While these acts constitute assured instances of academic misconduct, other acts of academic misconduct may be defined by the professor.

Students must sign the Honor Agreement affirming their commitment to uphold the Honor Code before becoming a part of the Georgia Tech community. The Honor Agreement may reappear on exams and other assignments to remind students of their responsibilities under the Georgia Institute of Technology Academic Honor Code.

#### Section 4. Faculty Responsibilities

Faculty members are expected to create an environment where honesty flourishes. In creating this environment, faculty members are expected to do the following: Make known to their class as specifically as possible what constitutes appropriate academic conduct as well as what comprises academic misconduct. This includes but is not limited to the use of previously submitted work, collaborative work on homework, etc.:

Provide copies of old exams or lists of sample questions to the Georgia Tech library for students to review; Avoid the re-use of exams;

Include a paragraph containing information about the Georgia Tech Academic Honor Code on the syllabus for each class they teach;

Report instances of academic dishonesty to the office of the Vice-President for Student Services. In addition to the expectations listed above, it is recognized that faculty have the authority to superimpose their own interpretations on some aspects of academic conduct including, but not limited to, the following:

Old exams for use during open-book exams; Contents of formula sheets allowed on exams; Use of calculators on exams; Collaboration on out of class assignments; Use of previously submitted out of class assignments.

### **Article III: Honor System**

#### Section 1. Governing Bodies

The Georgia Institute of Technology Academic Honor Code recognizes the present bodies given the power to enforce the academic regulations of the Institute. The Honor Code recognizes the Vice-President for Student Services to be the principal administrator to enforce Institute disciplinary measures as presently specified in Article XXI, Section A, of the Rules and Regulations section of the current Georgia Institute of Technology General Catalog.

The Honor Code also recognizes the Student Honor Committee as that body given jurisdiction to hear all cases of alleged academic misconduct as currently specified in Article XXI, Section B, of the Rules and Regulations section of the current Georgia Institute of Technology General Catalog.

### Section 2. Reporting Honor Code Violation

In order for an Honor Code to function, members of the Georgia Tech Community must not tolerate violations of it by anyone. Community members are at their discretion to use any of three options to report suspected Honor Code violations:

A student may simply desire to confront the fellow student with the perceived infraction. While this option is the most likely to enact widespread change in attitude and behavior among students (because violators would understand that they are violating the trust of their peers and not some abstract body of people), it is still expected that an alleged violator will be reported to the Vice-President of Student Services.

A student may choose to approach the professor of the class in which the alleged infraction occurred and seek his or her input on how to proceed. A result of a conference of this type would be the professors awareness that the alleged violator needs closer monitoring to ascertain reasonable certainty of guilt before being reported to the Vice-President of Student Services.

A student may choose to seek the advice of an Honor Advisor (see Article III., Section 3). Meetings with Honor Advisors shall address issues of policy and procedure only. Specifics of an individual case are not to be discussed. After a consultation with an Honor Advisor, a student may choose to submit a formal accusation of academic misconduct to the Vice-President for Student Services.

### Section 3. Student Honor Advisory Council

Students composing the Student Honor Advisory Council are to become well versed in all aspects of the Georgia Institute of Technology Academic Honor Code and the procedures for reporting an honor violation as well as those procedures for the trying of cases of suspected academic misconduct before the Student Honor Committee. The Council is to act as an information resource to all members of the Georgia Tech Community on issues related to the Honor Code.

#### *A. Membership*

Members are to be selected by the Vice-President of Student Services or a designee of the Vice-President of Student Services. Members must be full-time students at Georgia Tech and must be in good academic standing. Once a member of the council, the student shall serve until he or she graduates, unless he or she resigns or is impeached. Impeachment procedures are to be specified in the rules and/or bylaws of the Honor Advisory Council. Membership shall be composed of no less than fifteen (15) students at any given time.

*B. Duties and Responsibilities*

To serve in an advisory capacity to any student(s) wishing to report an honor violation or any student(s) being accused of committing an honor violation. To continually educate and maintain awareness among the Georgia Tech Community regarding the Honor Code. To limit discussion with students to issues of policy and procedure.

**Article IV.**

Amending the Honor Code Amendments to the Georgia Tech Academic Honor Code may be proposed by a two-thirds (2/3) vote of both the Undergraduate Student Council and the Graduate Student Senate, or by a petition of ten percent (10%) of the total student population (undergraduate and graduate) directed to both the undergraduate student body President and the graduate student body President. Amendments become part of this Honor Code upon ratification by two-thirds (2/3) of the votes cast in a special election open to undergraduate and graduate students, provided that the proposed amendments have been published in *The Technique* at least one week prior to the vote by the Student Body and further provided that the amendments are approved by the Academic Senate.

Appendices or amendments of appendices which pertain to either the undergraduate or to the graduate student body may be proposed by a two-thirds (2/3) vote of the respective legislative body or a petition of at least ten percent of the respective student body directed to the respective student body president. These shall become part of this Honor Code upon ratification by two-thirds (2/3) of the votes in a special election of the respective student body, provided that the proposed appendices or amendments of appendices have been published in *The Technique* at least one week prior to the election, and further provided that the appendices or amendments of appendices are approved by the Academic Senate.

APPENDIX A: Graduate Appendix to the Honor Code

Section 1. Preamble The Honor Code recognizes that graduate students are involved in research and scholarly activities which occur outside the classroom. Integrity and academic honesty are as fundamental to research and scholarly activity as they are to classroom activity. Therefore, this Appendix to the Honor Code is adopted to pertain to the academic activities of graduate students which occur outside of the classroom.

Section 2. Scholarly Misconduct Scholarly misconduct refers to misconduct which occurs in research and scholarly activities outside the classroom. It can include plagiarism, among other things. The consequences of scholarly misconduct are governed by Institute policy. The following definitions are taken from the Institute's Policy on Scholarly Misconduct. "Misconduct" or "scholarly misconduct" is the fabrication or falsification of data, plagiarism, or other practice that seriously deviates from those that are commonly accepted within the academic or research community for proposing, conducting or reporting research or scholarly activity. It does not include honest error or honest differences in interpretation or judgments of data.

"Plagiarism" is the act of appropriating the literary composition of another, or parts or passages of his or her writings, or language or ideas of the same, and passing them off as the product of one's own mind. It involves the deliberate use of any outside source without proper acknowledgment. Plagiarism is scholarly misconduct whether it occurs in any work, published or

unpublished, or in applications for funding. Allegations involving scholarly misconduct fall under the Institute's Policy on Scholarly Misconduct. This document details the procedures involved with reporting allegations and with the handling of cases. All graduate students are encouraged to become familiar with this policy, which is available from the office of the Provost.

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Source: Undergraduate Curriculum Committee Date: 8/96

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## **5.11. Facilities**

### **5.11.1. GENERAL**

The following policies and procedures are hereby created and adopted for the purposes of providing a clear statement of position of the Georgia Institute of Technology with respect to the use of the facilities of the Institute. They shall provide guidance for those charged with the implementation and shall be applied in an impartial and consistent manner to all segments of the Institute hereinafter enumerated.

### **5.11.2. SCOPE**

For these purposes, the facilities of the Georgia Institute of Technology shall mean any and all portions of all buildings and structures, land and open space, air rights above such spaces, and campus utilities, walks, streets, and recreation areas which are considered to be a part of the campus of the Georgia Institute of Technology in Atlanta; whether such facilities are "owned" by the Board of Regents of the University System of Georgia or the Georgia Education Authority. Providing, however, that nothing in this statement of policy is intended to infringe upon or restrict the use of privately owned facilities such as fraternities or religious centers located within the campus.

These policies shall be applicable to all faculty, staff, and students of the Georgia Institute of Technology. Part-time and special term employees as well as students in special, short-term, and continuing educational programs shall be similarly governed. In addition, persons who are not students or employees of the Institute, while on Institutional property, are required to adhere to the standards of conduct applicable to Georgia Institute of Technology faculty, staff, and students and to abide by all pertinent policies and campus regulations.

Access to the campus of the Georgia Institute of Technology shall be limited to authorized visitors, invited guests, persons in an official institutional capacity attending an officially recognized campus-oriented function or activity.

### **5.11.3 POLICY**

#### **5.11.3.1.**

The paramount mission of the Georgia Institute of Technology is recognized as the acquisition, transmission, and application of knowledge through teaching, research and public service. There

exists, therefore, the basic requisite that any and all uses of facilities be relevant in this context of educational purposes.

**5.11.3.2.**

Primary jurisdiction over all Institutional facilities shall rest with the Office of the President. While the President may designate representatives to act in his behalf in the assignment and control of facilities, such delegation shall remain subordinate to central administration control. This means that all facilities shall be considered to be primarily facilities of the Institute and only secondarily facilities of a branch, college, department, school, or other institutional subdivision.

**5.11.3.3.**

The use of Institutional academic facilities, classrooms, seminar spaces, laboratories, and auditoria for scheduled academic instructional and research purposes shall take precedence over all other uses of such spaces and will not be displaced without the expressed approval of the President or his authorized designee.\*

\*Provost and Vice President for Academic Affairs

**5.11.3.4.**

Inasmuch as the physical facilities of the Institute were specifically authorized and intended for these purposes, the Georgia Institute of Technology expects and requires that with the exceptions noted herein, the principal focus of all activity on and within the facilities of the Institute will be directed toward and essentially restricted to the faculty, staff, alumni or students of the Institute as defined herein.

EXCEPTIONS to this provision shall be recognized as:

**5.11.3.4.(a)**

Athletic events which involve the participation of students of the Georgia Institute of Technology in intramural or intercollegiate competition with or without public audience, or which may or may not involve Georgia Institute of Technology students, but are considered to be in the interest of the general public of the State of Georgia and which are uniquely restricted by purpose or by performance to such facilities; or

**5.11.3.4.(b)**

Programs of a special nature which are principally designed to provide members of the institutional family with viable linkages with areas of professional or social concern; i.e., professional workshops, seminars, neighborhood relations, model cities activity, economic and social opportunity, housing, etc., providing, however, that the facilities of the Institute will not be allocated or used for routine regular meetings, banquets, etc., of any organization which is not essentially [seventy-five percent (75%) active membership] made up of the faculty, staff, and students of the Institute, unless such organization has as its primary purpose the furtherance and improvement of the goals and objectives of the Institute; or



**5.11.3.4.(c)**

Activities sponsored by recognized, nonprofit service organizations, for which no other suitable facilities are available within the metropolitan area, and for which it can be clearly demonstrated that a major public or institutional benefit would be rendered [subject also to the provisions of 6.15.3.4(b) above]; or

**5.11.3.4.(d)**

Uses which occur in spaces and facilities rented or leased by the Georgia Institute of Technology under the provisions of policy Section 6.15.3.13. of this document.

**5.11.3.5.**

The following section in italics is essentially incorporated verbatim from the recommendations given in the United States District Court opinion in the case of *Stacy vs Williams*, December 1969, (Mississippi).

*The freedoms of speech and assembly guaranteed by the first and fourteenth amendments to the United States constitution shall be enjoyed by the students and faculties of the Georgia Institute of Technology as respect the opportunity to hear off-campus, or outside speakers on the campus. Free discussion of subjects of either controversial or non-controversial nature shall not be curtailed.*

*However, as there is no absolute right to assemble or to make or hear a speech at any time or place regardless of the circumstances, content of speech, purpose of assembly, or probable consequences of such meeting or speech, the issuance of invitation to outside speakers other than for scheduled classes shall be limited in the following particulars, but only in the manner set forth herein:*

**5.11.3.5.(a)**

A request to invite an outside speaker will be considered only when made by a chartered student or organized faculty group, recognized by the President or his authorized designee.\*

\*Authorized Designees/Speaker Policy:

Student Related: Vice President for Student Services

Faculty/Staff Related: Provost and Vice President for Academic Affairs

**5.11.3.5.(b)**

No invitation by such organized group shall be issued to an outside speaker without prior written concurrence by the President, or such person or committee as may be designated by him (hereafter referred to as his authorized designee), for scheduling of speaker dates and assignment of campus facilities.

**5.11.3.5.(c)**

Any speaker request shall be made in writing by an officer of the student or faculty organization desiring to sponsor the proposed speaker not later than ten calendar days prior to the date of the

proposed speaking engagement. This request shall contain the name of the speaker and the sponsoring organization, the proposed date, time, and location of the meeting, the expected size of the audience and topic of speech. Any request not acted upon by the President, or his authorized designee within four working days after submission shall be deemed granted.

**5.11.3.5.(d)**

A request made by a recognized organization may be denied only if the President, or his authorized designee, determines, after proper inquiry, that the proposed speech will constitute a clear and present danger to the Institute's orderly operation by the speaker's advocacy+ of such actions as:

5.11.3.5.(d)(1) *The violent overthrow of the government of the United States, the State of Georgia, or any political subdivision thereof; or*

5.11.3.5.(d)(2) *The willful damage or destruction, or seizure and subversion of the Institute's buildings or other property; or*

5.11.3.5.(d)(3) *The forcible disruption or impairment of, or interference with, the Institute's regularly scheduled classes or other educational functions; or*

5.11.3.5.(d)(4) *The physical harm, coercion, intimidation, or other invasion of lawful rights, of the Institute's officials, faculty members or students; or*

5.11.3.5.(d)(5) *Other campus disorder of a violent or disruptive nature.*

*In determining the existence of a clear and present danger, the President, or his authorized designee, may consider all relevant factors, including whether such speaker has within the past five years incited violence resulting in the destruction of property at any state educational institution or has willfully caused the forcible disruption of regularly scheduled classes or other educational functions at any such institution.*

+Advocacy, as described above, means preparing the group addressed for imminent action and steering it to such action, as opposed to the abstract espousal of the moral propriety of a course of action by resort to force; and there must be not only advocacy to action but also a reasonable apprehension of imminent danger to the essential functions and purposes of the Institute.

**5.11.3.5.(e)**

Where the request for an outside speaker is denied, any sponsoring organization thereby aggrieved shall, upon written application to the President, or his authorized designee, obtain a hearing within two days following the filing of its appeal before the Executive Board which, when augmented by the President and Secretary of the student body, shall constitute the Campus Review Committee, for a de nova consideration of the request. The decision will be final, unless judicial review is sought as hereinafter provided. If such request is neither granted nor denied within said two-day period, it shall be deemed granted, and the speaker's invitation shall be issued. The two student members on the Campus Review Committee shall serve only as long as they hold those student offices.

Any sponsoring organization aggrieved by the action of the Campus Review Committee in denying the request may obtain judicial review there-of upon application to any court of

competent jurisdiction, state or federal, by presenting its verified petition setting forth the grounds of complaint and giving adequate notice of such filing to the President. Upon a hearing to be conducted as soon as practicable, and at such time and place as the court may prescribe, the court shall either reverse or affirm the decision of the Campus Review Committee as may be proper under the law and facts.

**5.11.3.5.(f)**

Where the request for an outside speaker is granted and the speaker accepts the invitation, the sponsoring organization shall inform the President, or his authorized designee, in writing immediately of such acceptance. The President, or his authorized designee, may at his discretion, require that the meeting be chaired by a member of the administration or faculty, and he may further require a statement be made at the meeting that the views presented are not necessarily those of the Institute or of the sponsoring group. By this acceptance of the invitation to speak, the speaker shall assume full responsibility for any violation of law committed by him while he is on campus.

**5.11.3.5.(g)**

In the invitation to or the advertisement or announcement of guest speakers, it should be made clear to the academic and large community that sponsorship does not necessarily imply approval or endorsement either by the sponsoring group or the Georgia Institute of Technology. The approval of the use of instructional facilities by the Institute shall not necessarily imply that the Institute or the Board of Regents of the University System of Georgia approve or are in agreement with any of the advocations, policies or proposals espoused therein.

**5.11.3.5.(h)**

Where he considers it to be in the best interest of the Institute, the President or his authorized designee may require that any meeting be closed to all persons other than the faculty, staff or students of the Georgia Institute of Technology.

**5.11.3.6. Associate Vice President for Facilities**

Campus organizations chartered by the Georgia Institute of Technology may use campus facilities on a space available basis for regular meetings and other events related to the stated objectives and purpose of the organization. Dues or initiation fees pertaining directly to the maintenance of the organization may be collected during scheduled meetings but admission may not be charged nor other funds solicited at such meetings or sponsored event unless specifically approved by the Office of the Associate Vice President for Facilities. When admission is approved and charged, the sponsoring organization will pay the Institute the required share of the space maintenance, control, and staging expenses, and must submit a profit and expense statement to the Vice President for Planning, Budget, and Finance. When required by the Office of the Associate Vice President for Facilities, organizations or individuals using Institutional facilities shall provide proof of liability insurance coverage in an amount prescribed by the Office of the Associate Vice President for Facilities.

It shall be the responsibility of the President, or his authorized designee, to ensure that significant bias is not introduced in the accommodation of speakers or the assignment of spaces and that equal opportunities for the expression of a variety of viewpoints shall be provided over a reasonable period of time.

**5.11.3.7.**

The Georgia Institute of Technology has no responsibility for providing a forum for off-campus speakers who may wish to avail themselves of its facilities. Facilities will, therefore, normally not be made available for non-affiliated or non-sponsored speakers. Chartered campus organizations are not required to accept speakers imposed upon them by an outside agency or individual, nor shall such organizations be required to lend their entitlement to use Institutional facilities or to invite outside speakers, merely as an accommodation to a non-campus individual, group or organization.

**5.11.3.8.**

Within the context of these policies, the freedoms of speech and assembly guaranteed by the First and Fourteenth amendments to the United States Constitution are reaffirmed. This right, however, shall carry with it an equal obligation for orderly conduct, non-interference with Institutional functions or activities, and identification of sponsoring groups or individuals. The preservation of a suitable environment for study and research is of a paramount importance. The use of Institutional facilities in the exercise of the right of free expression, therefore, shall be subordinate to the need to carry out the regularly scheduled functions and organized activities of the Institute.

In this respect:

**5.11.3.8.(a)**

If approved in advance by the Office of the Associate Vice President for Facilities, amplified sound may be used, but the privilege may be withdrawn if it interferes with regularly scheduled classes or other educational processes.

**5.11.3.8.(b)**

The health, safety, and general welfare of the members of the Georgia Institute of Technology must be preserved. To ensure that the campus is not littered, which may affect sanitation and health; that Institutional property is not damaged; that views which are necessary for the safe movement of traffic are not impeded; and that the established standards of campus aesthetics are maintained, the following shall apply:

Any student or chartered student organization may place posters or printed materials on bulletin boards or kiosks provided by the Institute for that purpose, but shall be restricted from erecting, posting, or displaying signs and other similar material in any and all other locations unless written approval has first been obtained from the Office of the Associate Vice President for Facilities. All proposals for the construction of displays shall be submitted to the Office of the Associate Vice President for Facilities for a review of safety and aesthetic compliance prior to

construction. Sites for the construction of displays shall be designated by the Office of the Associate Vice President for Facilities.

Political campaign and commercial advertisement shall not be displayed on the Campus.

**5.11.3.8.(c)**

With the exceptions noted herein, the distribution on the campus of commercial materials (which for these purposes shall be considered to be items, other than newspapers, offered for sale or to induce sales) shall be prohibited. The distribution of newspapers shall be limited to vending machines of design and at locations approved by the Office of the Associate Vice President for Facilities.

**5.11.3.8.(d)**

Individuals, including recognized candidates for public office, may distribute literature or non-commercial materials at locations on the campus which are designated by the Office of the Associate Vice President for Facilities for such purposes and which are not closer than twenty-five feet to the principal entrance of a building, providing, however, that the process of distribution does not interfere with regularly scheduled classes or similar activities and does not infringe upon the privacy of individuals. The distribution of material and literature, other than printed material relating to approved campus functions and newspapers, within any campus building or structure shall be restricted to locations and facilities prescribed for such activities. Distribution, however, must be in the form of personal offering and voluntary acceptance and shall not take the form of placement upon private property such as automobiles parked on campus.

**5.11.3.8.(e)**

With the exception of items specifically ordered by members of the Institutional family for use in conducting official Institute activities or items normally ordered and delivered in support of on-campus residency, or items offered to the general public in conjunction with authorized campus events, non-Institutional persons shall be prohibited from posting, exhibiting, or distributing commercial literature and materials on campus.

All distributed material shall be identified clearly by the name of the organization or sponsoring persons and, except for official Institutional announcements, ordinarily shall be removed within ten days of posting. Failure to remove such material shall be considered sufficient cause to deny future requests for such privileges.

**5.11.3.8.(f)**

The use of Institutional offices or other work spaces shall not be granted to any organization or individuals who propose to use such facilities to extend their activities beyond the campus to raise funds for political purposes, to campaign, to promote or otherwise intervene or participate in campaigns of a political nature, or to promote or raise funds for any purpose which has not been specifically approved by the President, or his authorized designee.

**5.11.3.8.(g)**

The assignment of outdoor space for campus and non-campus speakers who are, or claim to be exercising the freedoms of speech and assembly guaranteed by the first and fourteenth amendments to the United States Constitution shall be governed by all the applicable provisions contained herein. To insure an equal and fair opportunity to be heard to all availing themselves of these rights no individual or group may utilize any one of the three principal outdoor spaces so designated for such activities, more than six times (a time being any portion of one twenty-four hour day of a maximum duration of three hours) in any calendar month. If an individual or group wishes to exercise such guaranteed freedoms on the campus for more than eighteen days in any calendar month other outdoor spaces will be assigned by the Associate Vice President for Facilities.

**5.11.3.9.**

Institutional facilities, other than those specifically approved for multi-denominational, general use religious purposes, shall not be used for the purpose of religious worship, exercise or conversion.

**5.11.3.10.**

Institutional facilities shall not be used for the purpose of organizing, aiding, or carrying out, in any degree, any unlawful activity.

**5.11.3.11.**

Faculty and staff organizations of the Institute share the same opportunities as are listed for students and chartered student organizations above.

**5.11.3.12.**

Nothing in this statement of policy is intended to restrict in any way the use of Institutional facilities for:

- A. Regularly scheduled classes;
- B. Extra or rescheduled classes;
- C. Professional society meetings including student chapters;
- D. Seminars and special instructional lectures sponsored by an administrative department or the Department of Continuing Education Services; or
- E. Authorized consulting, contract, or sponsored research.

**5.11.3.13.**

In conformity with the policies and practices of the Board of Regents of the University System of Georgia, the physical facilities of the Georgia Institute of Technology will not, as a rule, be available for rental or lease. Under certain, specific conditions, however, and acting with the full knowledge and authority of the Board of Regents, the President of the Georgia Institute of Technology may authorize and approve the lease or rental of physical facilities of the Institute.

The conditions which must be satisfied include, but may not be limited to:

**5.11.3.13.(a)**

The facilities involved are not specifically required during the period of intended lease/rental for any institutional purpose.

**5.11.3.13.(b)**

The use of the facilities shall be restricted to purposes which offer to benefit directly a major segment of the population of the Georgia Institute of Technology in an educational or entertainment context or which are compatible with the academic or residential functions and responsibilities of the Institute.

**5.11.3.13.(c)**

The parties and/or individuals seeking the lease/rental shall be required to demonstrate sound financial and management capabilities related to responsible utilization and shall be capable of providing the required bonding and insurance protection.

**5.11.3.13.(d)**

The rental/lease rate shall be set at fair market value as determined from the current rate for similar facilities in the City of Atlanta. Adjustments may be made for events which are sponsored and managed by the appropriate committees of Student or Faculty Governments.

**5.11.3.13.(e)**

The net income from all lease/rental shall be utilized to support related student programs or to maintain and improve the physical facility which is used to generate such income.

**5.11.3.13.(f)**

Facilities shall not be leased/rented for activities of a political or religious nature or events which are designed to benefit a political or religious cause.

**5.11.3.13.(g)**

Individuals or organizations using instructional facilities under these provisions shall not use the name of the Georgia Institute of Technology or the State of Georgia in advertising or in any other manner to state or imply such sanction or sponsorship.

**5.11.3.13.(h)**

During such use the Georgia Institute of Technology police and other duly empowered police and security officers assigned to the facilities shall be required and instructed to observe and enforce all applicable laws of the State of Georgia and the City of Atlanta.

**5.11.3.13.(i)**

It is the policy of the Georgia Institute of Technology that the sale, distribution or consumption of alcoholic beverages on the premises of the Institute shall be prohibited unless specifically authorized by the President or his representative.

The sale, distribution or consumption of alcoholic beverages in all academic buildings and spaces shall be specifically prohibited.

**5.11.4. PROCEDURES**

**5.11.4.1. Education Extension and Non-Academic Use**

**5.11.4.1.(a)**

All requests for the use of any Georgia Institute of Technology facilities from sources external to the Institute that do not appear to involve directly Education Extension shall be directed to the Office of the Vice President of Facilities. Such requests will be evaluated by the Office of the Associate Vice President for Facilities in light of approved Institutional policies and the request approved or denied. In the instance of all marginal or questionable proposals, such requests shall be discussed with the President for his recommendations and direction.

**5.11.4.1.(b)**

All requests for the use of Institutional facilities which are or appear to be related to Education Extension Services shall be directed initially to the Director of Education Extension Services. Education Extension Services will coordinate specific requirements for facilities with the Office of the Associate Vice President for Facilities and appropriate Institute offices.

**5.11.4.1.(c)**

All requests for the use of Institutional facilities, other than the Student Center, which involve extracurricular faculty, staff or student activities shall be submitted to the Office of the Associate Vice President for Facilities on the standard form available for that purpose in the Associate Vice President for Facilities Office, fourth floor, Administration Building. Except in unusual circumstances, these requests should be submitted at least one week in advance of the proposed use to permit adequate time to effect the necessary coordination and arrangements.

5.11.4.1.(c)(1) Upon receipt of extracurricular faculty, staff or student requests, the Office of the Associate Vice President for Facilities will coordinate the use of facilities with appropriate Institutional offices and, if possible, make the requested assignments. If the requested spaces are not available, the requesting individual or organization will be advised of the other available facilities.

5.11.4.1.(c)(2) All student activities which propose the use of Institutional facilities will require the acknowledgment of the Vice President for Student Services with respect to charter or petition status before any assignment will be processed. In addition, the requesting organization must certify that the required faculty advisor or sponsor has been made aware of proposed use and will



be present, or satisfactorily represented, at the events to assume responsibility for the Institutional facilities.

5.11.4.1.(c)(3) Similarly all proposed faculty and staff use will require acknowledgment of the appropriate department head before processing of the request can be initiated.

**5.11.4.1.(d)**

All requests for use of the Student Center facilities which involve extracurricular faculty, staff or student activities shall be directed to the Scheduling Office in the Student Center.

**5.11.4.1.(e)**

The Office of the Associate Vice President for Facilities shall be responsible for the notification of the applicant, or the appropriate schools, department, Plant Operations Department and Georgia Tech Police Officers, of all pertinent actions taken in accordance with these procedures.

**5.11.4.1.(f)**

Any chartered student organization or agency of student government wishing to present off-campus speakers in or on Institutional facilities may do so by complying with the following procedures:

5.11.4.1.(f)(1) Not less than ten days before making final commitments or publicizing the meeting, an authorized officer of the organization shall submit in writing to the Vice President for Student Affairs a notice of intention to invite an off-campus speaker. The notice shall state the speaker's name and the organization represented, if any, the subject matter, proposed date of meeting, audience to be addressed, Institutional facility sought to be used, and the comments and signatures of any faculty members consulted. If any faculty member consulted should advise against invitation, the reasons for such advice shall be indicated along with the organization's reasons for wishing to extend the invitation despite this disagreement.

5.11.4.1.(f)(2) In the absence of sponsorship by a chartered student organization or other Institutional authority, invitation of a speaker may be initiated by a petition to the Vice President for Student Services. The petition shall bear the signatures of at least one hundred registered, *bona fide* students of the Georgia Institute of Technology. The first five signers shall constitute a committee responsible for arrangements, and the first signer shall be chairman. One faculty member must be consulted by the committee to obtain his/her opinion and the opinion of such other members of the faculty as named. The petition shall contain the information described in Section 5.14.4.1.(f)(1), above, and also information that will satisfy the Vice President for Student Services that funds are on hand to pay all expenses involved. A petitioning group shall have the same entitlements as a chartered student organization for this presentation.

5.11.4.1.(f)(3) Whenever the Vice President for Student Services considers it appropriate to ensure an orderly discussion, he/she may require that the meeting be closed to all persons other than students of the Institute, its faculty and staff.

5.11.4.1.(f)(4) The Vice President for Student Services may deny an invitation only if the organization or petitioning group fails to conform to the policies and procedures outlined herein. Failure to disapprove within four working days of submission shall constitute approval to extend

the invitation to the speaker, but does not constitute approval of the use of the desired Institutional facility, which must be coordinated with the Office of the Associate Vice President for Facilities.

5.11.4.1.(f)(5) Upon receipt, the Vice President for Student Services will submit with his/her recommendations attached, all requests for the use of Institutional facilities to the Associate Vice President for Facilities.

5.11.4.1.(f)(6) The requesting organization shall be promptly advised of pertinent action taken in accordance with these procedures.

**5.11.4.1.(g)**

Any members of the teaching faculty wishing to invite an off-campus speaker to address the duly registered students of their regularly scheduled class, or a special session of their scheduled class or seminar in the assigned classroom space is free to do so. When the audience is expanded by open invitation or when centrally administered space is requested in anticipation of a larger audience, however, the faculty member shall comply with the following procedure:

5.11.4.1.(g)(1) The faculty member shall obtain written approval of his/her department head. This written approval shall be submitted to the Office of the Associate Vice President for Facilities as soon as possible by the department head so that appropriate campus service organizations may be alerted.

5.11.4.1.(g)(2) If a change of facilities is involved, the speaker should not be invited or the event advertised until approval of the use of space is received by the department.

**5.11.4.1.(h)**

Any recognized faculty or staff organization wishing to invite an off-campus speaker to address the membership of the organization is free to do so. When the proposed audience is expanded by open invitation to off-campus persons, however, the organization shall comply with the following procedure:

5.11.4.1.(h)(1) Not less than ten days before making final commitments or publicizing the meeting, an authorized officer of the organization shall submit in writing to the Provost and Vice President for Academic Affairs a notice of intention to invite an off-campus speaker. The notice shall state the speaker's name and the organization represented, if any, the subject matter, proposed date of meeting, audience to be addressed, and the Institutional facility sought to be used.

5.11.4.1.(h)(2) The Provost and Vice President for Academic Affairs may deny an invitation only if the organization fails to conform to the policies or procedures outlined herein. Failure to disapprove within four working days of submission shall constitute approval to extend the invitation to the speaker, but does not constitute approval of the use of the desired Institutional facility, which must be coordinated with the Office of the Associate Vice President for Facilities. Whenever the Provost and Vice President for Academic Affairs considers it appropriate to ensure orderly discussion, he/she may require that the meeting be closed to all persons other than the faculty or staff of the Institute.

5.11.4.1.(h)(3) Upon receipt, the Provost and Vice President for Academic Affairs will submit with his/her recommendations attached, all requests for the use of Institutional facilities to the Associate Vice President for Facilities.

5.11.4.1.(h)(4) Speakers should not be invited or the event advertised until approval of the use of space is received by the organization.

**5.11.4.1.(i)**

In the event that an Institutional organization, such as Education Extension Services, has a significant unique requirement for the use of a specific Institutional space which is in conflict with a regularly scheduled class, the director of the organization may submit a request to displace the class to the Provost and Vice President for Academic Affairs. This written request will incorporate any significant evidence in support of the special need and shall be filed at least thirty days in advance of the date required.

The Provost and Vice President for Academic Affairs shall make a decision on the matter and if the displacement is authorized, will notify the Office of the Associate Vice President for Facilities so that appropriate rescheduling may occur.

**5.11.4.1.(j)**

All sponsors shall notify the Office of the Associate Vice President for Facilities immediately by telephone, followed by a memorandum, when an event is canceled so that the space may be made available for reassignment. The Office of the Associate Vice President for Facilities will distribute a cancellation notice to all concerned parties.

**5.11.4.2. Academic Instructional Use**

**5.11.4.2.(a)**

Annually, and approximately four weeks prior to commencement of Fall quarter registration, each College, School, Department, and separate Institutional office will be assigned physical facilities for the coming academic year by the Office of the Associate Vice President for Facilities. This assignment will include laboratories, small classrooms, offices, seminar spaces, research facilities, special use spaces, and storage. The assignment will be based upon the effective requirements of the organization as reflected by the utilization rate during the immediately preceding academic year and a realistic appraisal of projected requirements for the coming annual period. Appropriate attention and consideration will be given to continuity in the assignment of facilities and to requirements of a special nature which might not have been reflected in the above described process of analysis. Recognizing the objectives of such procedures are to maximize the effective use of Institutional facilities and to provide a method which will reflect and correct inequities on a more dynamic basis, annual assignments may be increased or decreased by the Office of the Associate Vice President for Facilities. Once the annual assignment of space is made, however, the use/management responsibility shall flow to the recipient College, School, or department and all matters relating to the temporary use or exchange of such assigned facilities shall be directed to the appropriate College, School, or Department.

**5.11.4.2.(b)**

The use of all large lecture rooms, auditoria and theaters as well as all medium size classrooms (containing sixty or more student stations) shall be coordinated directly by the Office of the Associate Vice President for Facilities and shall not be considered as assigned space to any School, Department, or organization.

**5.11.4.2.(c)**

In the event new facilities are added to the physical inventory during the academic year, an interim assignment and adjustment of space will be made by the Office of the Associate Vice President for Facilities.

**5.11.4.2.(d)**

All requirements for space generated as a result of unforeseen circumstances shall be directed to the Office of the Associate Vice President for Facilities.

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Source: Office of Facilities Date: 8/96

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**5.12. Use of Office Space by Retired Faculty**

- A. It is the policy of the Georgia Institute of Technology to consider the request from retired faculty to be provided office space.
- B. After office space for regular faculty is provided, space, if available, may be provided to retired individuals who perform a service to the institution. Special approval is required from the department chair, academic dean, and the Provost and Vice President for Academic Affairs.
- C. Each case will be reviewed annually prior to the beginning of the Fall quarter.

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Source: Provost and Vice President for Academic Affairs Date: 8/96

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**5.13. Utilities, Maintenance, and Modifications**

The Office of the Associate Vice President for Facilities and Plant Operations Division, as part of their basic functional assignments from the Board of Regents and the Institute's administration, are the responsible organizational units for the design, construction, and maintenance of all campus facilities.

All utilities and associated components which are located on or within the campus boundaries are Institute owned. This includes all conduits, cables, wire, trenches, paths, poles, towers, pipes, sewers, and other subcomponents used to interconnect buildings and/or operational areas.

After any utility system has been installed and/or modified, ownership of all components, sub-components and/or additions to such systems, rests with the Institute.

If a user organization desires to have new utility installed or modified in order to extend that utility, funding for such projects must be borne by that organizational unit. Further, the funding organization or the project must obtain written approval of the Plant Operations Division (Director's Office) to add or modify the utility; and the design for such addition/modification must be prescribed by the Plant Operations Division's Engineering Department to ensure compliance with campus standards. Once completed, the ownership of the utility rests with the Institute. Right of first use will be granted to the funding organization, but essential maintenance will be managed by the Plant Operations Division. (Funding for maintenance and/or repair of the utility will be the responsibility of the user organization on a *pro rata* charge basis related to the utility's use.)

All operational costs associated with new utilities and/or modification of existing utilities for an organization will be the responsibility of the user.

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Source: Office of Facilities Date: 8/96

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## **5.14. Intellectual Property Policy**

### **5.14.1. INTRODUCTION**

The Georgia Institute of Technology is dedicated to teaching, research, and the extension of knowledge to the public. Its personnel recognize as two of their major objectives, the production of new knowledge and the dissemination of both old and new knowledge. Inherent in these objectives is the need to encourage the development of new and useful devices and processes, the publication of scholarly works, the development of computer software, and other forms of intellectual property. Such activities (1) contribute to the professional development of the faculty, staff or students involved, (2) enhance the reputation of the institutions concerned, (3) provide additional educational opportunities for participating students, and (4) promote the general welfare of the public at large.

Patentable inventions and materials often come about because of activities of GIT faculty, staff or students who have been aided wholly or in part through the use of resources of GIT. It becomes significant, therefore, to insure the utilization of such inventions for the public good and to expedite their development and marketing. The rights and privileges, as well as the incentive, of the inventor or creator must be preserved so that his or her abilities and those of other faculty, staff or students of GIT may be further encouraged and stimulated.

GIT recognizes and encourages the publication of scholarly works as an integral part of the processes of teaching, research and service. GIT encourages faculty, staff and students to regularly prepare for publication, usually through individual effort and initiative, articles, pamphlets, books and other scholarly works which may be subject to copyright and which may generate royalty income for the author. Publication may also result from work supported either

partially or completely by the institution. With the advent of innovative techniques and procedures, the variety and number of materials that might be created in a university community have increased significantly, causing the ownership of such copyrightable materials to become increasingly complex.

GIT recognizes the need for enhanced development and dissemination of software technology as a means of expressing both old and new knowledge. Inasmuch as GIT is aware of the dynamic nature of software and that the value of intellectual property comes from the ability of its owner to control its use and that such value is directly related to the degree of protection it enjoys under the law, GIT encourages the protection of such expressions of knowledge by the utilization of appropriate intellectual property laws and the creation of comprehensive software technology transfer policies and procedures.

The Board of Regents has, by contract, granted rights to Intellectual Property created at GIT to the Georgia Tech Research Corporation (GTRC). When this policy speaks to ownership of Intellectual Property by GIT, GTRC shall be the owner.

The foregoing considered, the Georgia Institute of Technology does hereby establish the following policy with respect to the development, protection, and transfer of rights to Intellectual Property resulting from the work of its faculty, staff or students.

#### **5.14.2. DEFINITIONS**

5.14.2.1. "Intellectual Property" shall be deemed to refer to Patentable Materials, Copyrighted Materials, Trademarks, Software, and Trade Secrets, whether or not formal protection is sought.

5.14.2.2. "Patentable Materials" shall be deemed to refer to items other than software which reasonably appear to qualify for protection under the patent laws of the United States or other protective statutes, including Novel Plant Varieties and Patentable Plants, whether or not Patentable thereunder.

5.14.2.3. "Copyrighted Materials" includes the following: (1) books, journal articles, texts, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests and proposals; (2) lectures, musical or dramatic compositions, unpublished scripts; (3) films, filmstrips, charts, transparencies, and other visual aids; (4) video and audio tapes or cassettes; (5) live video and audio broadcasts; (6) programmed instructional materials; (7) mask works; and (8) other materials or works other than software which qualify for protection under the copyright laws of the United States (see 17 U.S.C.102 et seq.) or other protective statutes whether or not registered thereunder. Note: Textbooks, books, and journal articles and their directly associated electronic media will normally be treated as individual efforts owned by the author(s) under Section 5.14.6. (d) unless they are created as an assigned instructional or research duty or pursuant to a sponsored contract.

5.14.2.4. "Software" shall include one or more computer programs existing in any form, or any associated operational procedures, manuals or other documentation, whether or not protectable or protected by patent or copyright. The term "computer program" shall mean a set of instructions, statements of related data that, in actual or modified form, is capable of causing a computer or computer system to perform specified functions.

5.14.2.5. "Trademarks" shall include all trademarks, service marks, trade names, seals, symbols, designs, slogans, or logotypes developed by or associated with the Georgia Institute of Technology. (See 15 U.S.C.1127.)

5.14.2.6. "Trade Secrets" means information including, but not limited to, technical or non-technical data, a formula, a pattern, a compilation, a program, a device, a method, a technique, a drawing, a process, financial data, financial plans, product plans, or a list of actual or potential customers or suppliers which: (i) derives economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons, who can obtain economic value from its disclosure or use; and (ii) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy. (See O.C.G.A. 10-1-761.)

5.14.2.7. "Patentable Plant" means an asexually reproduced distinct and new variety of plant. (See 35 U.S.C.161.)

5.14.2.8. "Mask Work" means a series of related images, however fixed or encoded: (i) having or representing the predetermined, three dimensional pattern of metallic, insulating, or semiconductor material present or removed from the layers of a semiconductor chip product; and (ii) in which series the relation of the images to one another is that each image has the pattern of the surface of one form of the semiconductor chip product. (See 17 U.S.C. 901.)

5.14.2.9. "Novel Plant Variety" means a novel variety of sexually reproduced plant. (See 7 U.S.C.2321 et seq.)

### **5.14.3. INTELLECTUAL PROPERTY COMMITTEE**

5.14.3.1. Intellectual Property activities shall be under the general cognizance of an institutional Intellectual Property Committee. This Committee shall be appointed by the President after consultation with the Faculty Executive Board; one representative

shall be selected from the Office of Business and Finance, one representative shall be selected from the Office of Legal Affairs, one representative shall be selected from the Georgia Tech Research Corporation, one or more faculty representative shall be selected from each of the colleges so that there is a adequate representation of specialized areas such as but not limited to software, instructional materials, or inventions , one representative from the Georgia Tech Research Institute, and one representative shall be selected from the student body. As appropriate a representative that is knowledgeable on state and federal regulations will be included in the committee. The President shall appoint the Chair of the Committee. Committee appointments will be for three (3) years. Provided, however, that of the original members of the Committee, three shall be appointed for a term of one (1) year, three shall be appointed for a term of two (2) years, and the remainder shall be appointed for a term of three (3) years; the student representative shall be appointed for a term of three years or until he or she graduates, whichever comes first. Members of the Committee may be appointed to serve successive terms. In the event any seat on the Committee is vacated prior to expiration of the normal term, the Chair may appoint a successor to fill the unexpired term of the seat vacated.

5.14.3.2. The role of the Intellectual Property Committee is to:

- (a) Advise the President on policy matters relating to Intellectual Property.
- (b) Propose amendments considered necessary to the intellectual property policy.
- (c) Arbitrate disputes.
- (d) Approve any deviations from this policy

The Committee shall meet as necessary but at least once a year.

#### **5.14.4. POLICY APPLICABILITY TO FACULTY, STAFF AND STUDENTS**

This policy shall be applicable to all full or part-time faculty, staff or students of the Georgia Institute of Technology.

#### **5.14.5. ASSIGNMENT OF RIGHTS**

All full or part-time faculty or staff shall, as a condition of employment with the Institute, execute an assignment of rights, assigning all rights, title and interest, to the extent prescribed in this policy, in any intellectual property to the Georgia Tech Research Corporation. Students shall not be required to execute an Assignment of Rights Form. This policy shall, however, be applicable to them and shall be set forth in the General Catalog and Student Handbook.

#### **5.14.6. DETERMINATION OF RIGHTS IN INTELLECTUAL PROPERTY**

##### A. Sponsor-Supported Efforts

The grant or contract between the sponsor and GTRC, under which Intellectual Property is produced, may contain specific provisions with respect to Intellectual Property. The inventors must be aware of these provisions as they can impact the licensing and commercialization opportunities of the invention.

##### B. Institution-Assigned Efforts

Ownership of Intellectual Property developed as a result of assigned institutional effort, including any effort normally associated with one's discipline and position, in education, research and service shall reside with GTRC. The general obligation to produce scholarly and creative works, such as textbooks, similar course material, books, journal articles, does not constitute a specific assignment for this purpose. Computer software is a scholarly activity but it does not necessarily constitute a specific assignment for this purpose.(See also Section 5.14.2.3).

##### C. Institution-Assisted Individual Effort

Ownership of Intellectual Property developed by faculty, staff or students of GIT where GIT provides support of their efforts or use of institutional resources in more than a purely incidental way (unless such resources are available without charge to the public) shall reside with GTRC.

##### D. Individual Effort

Ownership rights to Intellectual Property developed by faculty, staff or students of GIT shall reside with the inventor or creator of such Intellectual Property provided that: (1) there is no use, except in a purely incidental way, of GIT resources in the creation of such Intellectual Property



(unless such resources are available without charge to the public); (2) the Intellectual Property is not prepared in accordance with the terms of GIT contract or grant; (3) the Intellectual Property is not developed by faculty, staff or students as a specific institution assignment. The nature and extent of the use of Institution resources shall be subject to institution regulations.

E. Other Efforts

Ownership rights to Intellectual Property developed under any circumstances other than those listed in Section 5.5.6 A-D of this policy shall be determined on an individual basis and approved by the President or his or her designated representative.

**5.14.7 ADMINISTRATIVE PROCEDURES**

5.14.7.1. Georgia Tech Research Corporation (GTRC) is responsible for implementation of the Institute's intellectual property policy other than the management of trademarks pertaining to the name, emblem, insignias and logos of the Georgia Institute of Technology, which trademarks shall be managed by the Georgia Tech Foundation.

5.14.7.2. To assure protection and potential commercialization, Georgia Tech faculty, staff, and students are encouraged to disclose intellectual property to GTRC in a timely manner prior to any disclosure outside of Georgia Institute of Technology. GTRC may be obligated to report certain intellectual property to federal and other sponsors of research. Georgia Tech faculty, staff, and students should discuss the extent and nature of such disclosures with GTRC.

5.14.7.3. GTRC is authorized to seek intellectual property protection for potential licensing purposes only. Intellectual property protection for reasons other than such purposes must be funded by the relevant school, laboratory, center, or individual inventor/creator.

5.14.7.4. GTRC will advise the inventors or creators of its decision to accept intellectual property for administration within ninety (90) days of receipt of the completed intellectual property disclosure. Should GTRC decide not to accept the intellectual property for administration, or if it at any future time decides not to take any further action in marketing, or encouraging further development as a prelude to marketing, the intellectual property, it shall within thirty (30) days of such decision notify the inventors or creators and, should the inventors or creators so request, and if able to do so, release the intellectual property to the inventors or creators.

5.14.7.5. On acceptance by GTRC of any intellectual property for administration, the inventors or creators shall do all things necessary and comply with reasonable requests by GTRC, to assist in obtaining intellectual property protection and/or marketing the intellectual property. Such assistance will be at no cost to the inventors or creators.

5.14.7.6. No Institute personnel shall take any action to seek commercialization of, or receive any benefit from, any invention other than in accordance with Georgia Institute of Technology policy.

5.14.7.7. Distribution of Income

5.14.7.7.(a) The first Two Thousand Five Hundred Dollars (\$2,500) of gross income derived from the commercialization of any intellectual property other than video tapes/multimedia material shall be paid to the inventors/developers. Thereafter, the net income, computed on a cumulative basis, shall be distributed as follows:

	Next \$500 K	\$501 K - \$1,000 K	> \$1,000 K
Inventor	33%	33%	33%
Unit	17%	27%	33%
GTRC	50%	40%	34%

All licensing net income from royalties, e.g. gross income less all expenses attributable to that specific disclosure (e.g., patent costs, attorney costs, marketing costs, reproduction, mailing, consumables, etc.) shall be distributed quarterly by GTRC to the inventor and/or unit.

5.14.7.7.(b) In the case of the death of an inventor, any payment due, or which would have been due to such inventor, shall be made to the inventor's estate.

5.14.7.7.(c) The “inventor” will be the inventor or inventors of record listed on the original invention disclosure. When more than one inventor/developer is listed, the allocation will be determined by the percentage of ownership listed in the original invention disclosure. That allocation may only be altered for future royalty distribution by written request signed by all inventors listed on the original invention disclosure. In the case of the death of an inventor, any payment due, or which would have been due, to such inventor shall be made to the inventor's estate.

5.14.7.7.(d) Reinvestment funds are intended to seed additional research and development of new intellectual property. Royalty distribution for reinvestment payment will be made in the form of a GTRC grant to the primary home unit of the principal inventor/developer for use in funding additional research and development activities at the unit level.

5.14.7.7.(e) The portion of royalty income that accrues to GTRC shall be used to partially offset the costs of technology transfer not allocable to specific licensed technology and to support the research infrastructure and programs of GIT.

5.14.7.8. In the event that GTRC accepts equity in a start-up company as part of consideration for a license to technology, the inventor or inventors may be entitled to receive a portion of the equity shares received from the company by GTRC. An inventor may participate, subject to the GIT Conflict of Interest Policy, in the formation of a company to commercialize technology that is licensed from GTRC and hold equity in the resulting start-up company. However, an inventor who accepts an equity interest of any form or size from a licensee shall receive no portion of any equity shares received from the licensee by GTRC.

Inventors choosing not to accept an equity interest directly from a licensee will receive a portion of the equity shares received by GTRC according to the following schedule: a) If there is a single inventor then one-third (1/3) of the total shares received by GTRC, the inventor's portion, will be distributed to that individual. GTRC will carry the remaining two-thirds (2/3) of the shares received, the GTRC portion, until sale at a date to be determined later. b) If there is more than one inventor and all inventors choose not to accept an equity interest directly from a licensee, then one-third (1/3) of the total shares received by GTRC, the inventors' portion, will

be distributed to all inventors on a pro-rata basis based on their relative contributions to the discovery and development of the intellectual property in question. GTRC will carry the remaining two-thirds (2/3) of the shares received, the GTRC portion, until sale at a date to be determined later. c) If there is more than one inventor and one or more inventors choose to accept an equity interest directly from the licensee and one or more choose not to participate in the formation of the company (i.e. not accept shares directly from the company), then the normal inventors' portion of the total shares received by GTRC (that is, the one-third (1/3) portion in a) and b) above) is reduced by the contributions of those inventors choosing not to receive shares from GTRC relative to all inventors. The remaining inventors' portion of shares received by GTRC is distributed to those inventors based on each of the remaining inventors' contributions relative to those remaining inventors. The GTRC will obtain all remaining shares. (Example: There are 2 inventors with a mutually agreed upon split of 60% invention contribution by Inventor #1 and 40% by Inventor #2. Inventor #1 takes equity directly from the company and GTRC negotiates for a total of 100 shares of equity with the company. The normal 33% inventors' share would be 33 shares. Since Inventor #1 chose to take equity directly from the company, he would not receive any GTRC received shares. Inventor #2 would get  $.33 \times 40 = 13.2$  shares, the same number he would have received if Inventor #1 had not opted for directly receiving company equity. The remaining  $33 - 13.2 = 19.8$  shares will be held by GTRC, along with the other 67 shares.) GTRC will carry its portion of the shares received until sale at a date to be determined later.

Upon sale of any equity shares received by GTRC, the net proceeds received will be kept by GTRC and will be distributed to the sponsoring unit for reinvestment according to the chart in 5.14.7.7a for the unit and GTRC.

The distribution of royalties to the inventor(s), to reinvestment, and to GTRC will continue regardless of the equity choices made by the inventors.

5.14.7.9. Of the net revenue (proceeds from sale less direct and indirect costs of reproduction, distribution, legal, and other expenses) received by the Institute from the sale of any video tapes/multi-media materials, up to twenty percent (20%) of such net revenue received, to be determined by the school/laboratory/center director, shall be distributed to the presenters of the video tapes. If not distributed to such presenters, this percentage shall accrue to the Dean/School/Center or Lab in addition to the percentage specified below. Thirty percent (30%) of the net revenue received by the Institute shall be distributed to the presenters' Dean/School/Center or Lab in which the presenters are employed. Should the Department of Continuing Education (DCE) act on behalf of GTRC in undertaking production, marketing and/or distribution services then, in consideration of such services, DCE shall as determined by GTRC receive up to thirty percent (30%) of the net revenue received. All remaining net revenues will be distributed to GTRC. Once a distribution is determined, that distribution cannot be modified without agreement by all parties. All distributions should continue without exception.

5.14.7.10. Ownership of Intellectual Property Rights will normally be retained by GTRC. This is to ensure that all licensable knowledge created or invented will be available for public use. Exclusive licensing agreements by GTRC will contain a due diligence provision to require the license to revert to GTRC within a reasonable period of time if the licensee does not make the technology available to the public.

#### **5.14.8 APPEALS AND CONFLICTS**

Institute personnel shall have the right to appeal from decisions of the Intellectual Property Committee. Appeals shall be made to the President of the Institute. Institute personnel may, in accordance with Article IX of the ByLaws of the Board of Regents, apply to the Board of Regents for a review of the decision of the President.

#### **5.14.9 CHANGES IN POLICY**

This policy may be changed by the President on the recommendation of the Intellectual Property Committee, with the endorsement of the Faculty Executive Board, or on his or her own initiative, after consulting with the Intellectual Property Policy Committee and the Faculty Executive Board.

#### **5.14.10 CONFLICT**

In the event of conflict, between this policy and any policy of the Board of Regents, the latter shall prevail.

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Source: Vice Provost for Research and Graduate Studies Date: 10/01

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### **5.15. OPEN MEETINGS POLICY**

The meetings of all bodies of the Institute, except those in which personnel matters or matters of academic evaluation are under consideration, shall be open to the public.

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Source: Office of the President Date: 8/96

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### **5.16. SMOKING POLICY**

The United States Surgeon General has, on numerous occasions, presented evidence of the health risks associated with smoking and also with simply being around persons who are smoking. Georgia Tech recognizes its responsibility in providing a safe work environment for all of its faculty, staff, and students. Therefore, Georgia Tech adopts the following policy providing a smoke-free work environment.

"Each Georgia Tech unit will publicly designate its buildings and facilities as non-smoking areas, except for specific private offices or areas which may be designated at the discretion of the unit director. (A Georgia Tech unit may choose to designate its entire facilities as a no smoking zone.) Areas where smoking may be permitted must be in conformance with the fire code. Non-smokers may not be required to enter areas where smoking is permitted. Public meeting areas, public offices, classrooms, and stairwells may not be designated as smoking areas. In designated smoking areas particular attention should be paid to airborne combustible materials that might intrude into a non-smoking area.

Units are, furthermore, encouraged to support their staff's efforts to quit smoking. Suggested active support could include providing time and funding to attend courses aimed at assisting this process. Future consideration should be directed toward installing improved ventilation systems to minimize the spread of smoke within buildings where smoking is permitted."

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Source: Office of the President Date: 8/96

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## **6.0 INFORMATION SERVICES**

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### **6.1. LIBRARY SERVICES**

#### **6.1.1. FACULTY LOAN PRIVILEGES**

Books are borrowed for one academic quarter. They are recalled immediately for class reserve, or after three weeks if needed by other users. (See below, Sections 6.1.2. and 6.1.3., for detailed policies governing physical inventory of faculty charges and faculty recalls.) Journals, conference proceedings published in the last ten years, and microfilms do not circulate. Copies can be made in the Library's Copy Service or through Library Document Delivery (See below 6.1.5.). All copying must be done within the provisions of the U.S. Copyright Law.

#### **6.1.2. POLICY GOVERNING PHYSICAL INVENTORY OF FACULTY CHARGES**

All library materials checked out to Georgia Tech faculty/staff are due at the end of the semester in which they are borrowed. For the annual inventory, the Library will issue a printout of items charged, to be returned or renewed by a specific deadline. Items may be returned through Library Document Delivery or in person. Faculty with more than twenty renewal items may make an appointment with the Circulation Department for an office visit (894-4500).

Those faculty/staff not responding will receive a second printout requesting renewal. The Library staff will follow up with telephone contacts and specified deadlines. If a faculty/staff member fails to respond by the second deadline, the Library sends an invoice to him/her for the replacement and processing costs of the non-returned items. In addition, the Dean and Director of Libraries, after consulting with the faculty/staff member's supervisor, is authorized to suspend Library privileges, including circulation of materials, Library Document Delivery, access to GTEL®, interlibrary loan, and interlibrary use.

The suspension of Library privileges will stay in effect until all items are accounted for through renewal, return, or replacement. Revocation of Library privileges will be communicated to the faculty/staff member and to his/her supervisors, including the appropriate Vice President and the President. (Reprinted at the request of the Academic Services Committee).

#### **6.1.3. POLICY GOVERNING FACULTY RECALLS**

Library material is checked out to Georgia Tech faculty/staff until the end of the semester. Any item is subject to recall for another borrower after three weeks. Items needed for class reserve are subject to immediate recall. Recall notices, both e-mail and hard copy, are sent to the faculty/staff borrower on the twenty-second day of the loan period to return the item. A second recall notice is issued seven days later. If the recalled item is not returned, the Dean and Director of Libraries, after consulting with the supervisor of the faculty/staff member, is authorized to suspend Library privileges including circulation, Library Document Delivery, access to GTEL®, interlibrary loan, and interlibrary use.

Reinstitution of suspended Library privileges occurs only after the requested item is returned. Revocation of Library privileges is communicated to the faculty/staff member and to his/her supervisors, including the appropriate Vice President and the President. (Reprinted at the request of the Academic Services Committee).

#### **6.1.4. GEORGIA TECH ELECTRONIC LIBRARY**

GTEL® (Georgia Tech Electronic Library) is a primary tool for locating information resources. GTEL® is accessed on workstations connect to GTNET or via modem; the address is <http://www.library.gatech.edu>. GTEL® includes GTEC (the Library's catalog of books, journals, reports, conference proceedings), Galileo, other library catalogs, over 170 article citation databases, full-text databases, electronic reserves, links to selected Internet resources, and information about Library services. All subject areas are covered including general topics, engineering, science, and business. The Library also has a variety of CD-ROM databases that can be accessed in the Library and not remotely. The Library's homepage also provides access to Galileo, Georgia Libraries and Learning online. Galileo, funded by State Lottery money through the Board of Regents, provides access to many databases, indexes, and full text.

Instructions for using GTEL® (including log on procedures) are available at any public service desk in the library. Some databases are password protected or covered by U.S. Copyright Law and may be used only by Georgia Tech students, faculty, and staff for instruction and research purposes. No portion or section of any database may be copied, transferred, distributed, published, or sold in any form. Records may be printed or downloaded for personal use only.

The Library owns only a small portion of the items covered in GTEL®. See Section 6.1.5. for methods of acquiring material not available at Tech.

#### **6.1.5. DOCUMENT DELIVERY**

Library's Document Delivery is twice daily pick-up and delivery service of Library materials to academic departments and GTRI units. Each department has a designated drop-off/pick-up location. The service is operated by the Library's Document Delivery Department. Requests may be placed through GTEL®, the Library's home page, campus mail, telephone (894-4511), FAX (894-8190), email ([delivery@library.gatech.edu](mailto:delivery@library.gatech.edu)), and in person. Copies of articles can be transmitted by FAX to any campus FAX machine. To return books to Library Document Delivery, place the books in a campus mail envelope addressed to Library Document Delivery. The envelope should be placed in the assigned Library Document Delivery pick-up location. Failure to follow these procedures results in possible theft and damage to library materials. Faculty/staff members should follow these important guidelines to insure safe return of library materials.

#### **6.1.6. INFORMATION, REFERENCE, AND RESEARCH SERVICES**

Information and reference service desks are located on the first three floors of the Library's East building. Information and reference services also are provided in the Architecture Library, first floor, Architecture Building. An information consultant is assigned to each teaching department and GTRI for support in research and instruction. To find the name of a consultant, call the Reference Department at 894-4529 or consult the Library's home page.

Information consultants also provide instruction and demonstrations for classes, groups, or individuals using GTEL® and customized instruction geared to specific classes or assignments. Call 894-4529 for more information.

### **6.1.7. MATERIALS NOT AVAILABLE AT GEORGIA TECH**

The Library provides several ways of obtaining materials it does not own. Commercial document delivery services can be the fastest way to obtain needed journal articles and conference proceedings. Some other options are:

- A. The full text of articles from more than 1,500 general, business, and sci/tech periodicals are available on GTEL® and Galileo.
- B. Georgia Tech faculty and staff can borrow circulating materials directly from the general libraries of GSU, Emory, and University of Georgia using their Tech ID.
- C. To access to the libraries of other University System and University Center libraries, obtain an interlibrary use card from the Circulation Department (894-4500). Interlibrary Loan is available through Document Delivery Department. Call 894-4511 or email (delivery@library.gatech.edu) for procedures and additional information.
- D. Reciprocal Faculty Borrowing Program of the Research Library members of OCLC provides borrowing privileges and on-site access to many other U.S. research libraries. For information and borrower cards, call the Reference Department at 894-4529.

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Source: Dean and Director of Libraries Date: 6/99

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## **6.2. Information Technology**

The Office of Information Technology (OIT) provides communications and computing technology leadership and support to all Georgia Tech students, faculty, staff, and researchers. Its mission is to serve the campus community in several critical areas, including customer service for computing, communications, the Student Computer Ownership Policy, and the growing area of educational technologies.

OIT issues computer accounts to all students, faculty, and staff for Institute-related activities such as Internet access; electronic mail; electronic publishing; information and database storage and retrieval; homework; and class assignments.

The campus network connects over 160 buildings on campus, including over 30 residence halls and more than 35 sorority and fraternity houses, via fiber optic cables to the OIT central computing facilities, located in the Rich Building. Network connections are available in every residence hall, one for each bed, as well as to all appropriate administrative, academic, and research workstations; classrooms; campus ministries; and most fraternity and sorority houses. The Institute's Network and Computer Usage Policy governs acceptable use of these facilities.



OIT also supports the campus cable television network in association with Housing, and OIT is extending this service to the academic and research communities.

### **6.2.1. CUSTOMER SUPPORT**

The Customer Support (CS) directorate provides support to campus users in a variety of computer related services; namely, the Customer Support Center (CSC), the Computer Support Services (CSS) Program and Software Distribution. Specifically, the CSC provides support for microcomputer and workstation software applications; account administration for central computing resources; data scanning services; support for Macintosh, DOS, Windows, and UNIX operating systems; electronic mail; and workstation utilities. The Customer Support Center is also responsible for the management of the Remedy Action Request problem management application.

Through the Software Distribution Program, various site-licensed applications are made available to campus users. Portions of this program extend to other University System of Georgia schools and software is electronically available to both local and statewide user communities.

CS also provides distributed support through the Computer Support Services (CSS) program. The CSS Program is designed to leverage OIT's knowledge base and support structure by placing staff within requesting departments through an annual contractual arrangement.

The CSS program can provide full-time, technical expertise including the coordination of hardware and software acquisitions. The on-site employee is responsible for developing a communication bridge between OIT's mission and strategic goals and the individual department's goals.

In addition, the following services are available in the CSC, room 140, of the Rich building:

#### **OIT Account Information**

- ☐ All students and permanent faculty and staff members of Georgia Tech have a user account.
  
- ☐ Accounts are activated upon receipt of a completed OIT Computing Account Application and valid proof of identification.
  
- ☐ User account information, such as account numbers and passwords, is available during office hours.
  
- ☐ Part-time staff, consultants, organized groups, and other users associated with the Georgia Tech community may have special accounts issued through individual departmental channels.

#### **Scanning Services (Optical Mark Reader)**

Optical Mark Reader services are provided to the faculty and staff of Georgia Tech. Example of services are as follows:

- Exam grading:
  1. Print-out of mean grade, averages, and raw scores provided upon request
  2. Grading has top priority during Finals Week
- Departmental services (allow 1-5 days for processing):
  3. Faculty evaluations
  4. Student evaluations
  5. Enrollment surveys

Results may be stored on magnetic tape or floppy disk per the client's discretion. A PRISM account number is required to use these services. Appointments are recommended and will be given first priority.

### **Student Computer Ownership Policy**

Georgia Tech's Student Computer Ownership (SCO) Policy requires all students joining the class of 2001 and all subsequent classes to own a computer. The Customer Support Center works closely with faculty and Housing to provide support to students as a result of this initiative. For more information, visit the SCO Home Page <<http://www.sco.gatech.edu>>.

### **Contacting the Customer Support Center**

Users can contact the CSC via phone (404-894-7173), World Wide Web <<http://www.oit.gatech.edu/cs/csc/>> or E-mail ([support@oit.gatech.edu](mailto:support@oit.gatech.edu)).

### **6.2.2. EDUCATIONAL TECHNOLOGIES**

The Educational Technologies (ET) Directorate serves as the technology advocate for the academic faculty. ET also provides support services to faculty members who wish to experiment with alternative classroom instructional methods. The focus of the departmental mission is therefore first on teaching and learning, and second on technology. This mission is accomplished through close cooperation and coordination with the academic faculty, the Center for the Enhancement of Teaching and Learning (CETL), Georgia Tech Distance Learning, Continuing Education, and Outreach, EduTech Institute, Center for Education In Science Mathematics and Computing (CEISMC), the Library, and other campus organizations. Services provided by ET include, but are not limited to, the following:

### **General Purpose Computing Laboratories**

OIT provides approximately 190 public seats in four general-purpose computing laboratories across the campus. Two of the computing labs are open 24 hours a day, 7 days a week-the Rich UNIX/Windows NT Lab and the Student Center Macintosh Lab. The other two labs, the French NT Lab and the Library Macintosh Lab are only open when staffed by OIT User Assistants. Further information on the labs can be found at <<http://webslinger.oit.gatech.edu/tss/gpc/>>.

### **Scientific Visualization Laboratory**

The Scientific Visualization Laboratory is dedicated to supporting scientific visualization research and education in the Georgia Tech and Atlanta communities. The laboratory works in close cooperation, and is collocated, with the Graphics, Visualization, and Usability Center. Further information on this service can be obtained at <<http://www.scivis.gatech.edu/>>.

### **High Performance Computing Group**

The High Performance Computing Group provides expertise to faculty and students in accessing and using the available high performance computing systems, both on and off campus. The group promotes the effective use of high performance parallel and distributed architectures for large-scale applications. Application support has been expanded to those projects that also need the advanced networking services provided by Internet2. Further information on these services can be obtained at <<http://www.hpc.gatech.edu/>>.

### **High Technology Classroom Development and Consulting Services**

The Educational Technologies Directorate has designed and outfitted four general purpose high technology classrooms on campus: the Tennenbaum lecture auditorium; the Industrial and Systems Engineering (ISyE) War Room; room 102 in the College of Computing; and Skiles room 327. These high technology teaching facilities are available for scheduling by any faculty member on campus. In addition, ET is currently working with the faculty on upgrading the classroom audiovisual presentation capabilities across the campus. Additional information on this program and its current status can be found at <<http://edtech.gatech.edu/tss/avsupport/>>.

In addition to designing classrooms, which are centrally funded by the administration or the Board of Regents, the department assists individual academic units and colleges in classroom development projects which they are funded locally. These services include development of pedagogical approaches to teaching in high technology environments, as well as the traditional consulting role of providing recommendations for computing, networking, audiovisual, and infrastructure developments. For more information, send E-mail to [edtech@oit.gatech.edu](mailto:edtech@oit.gatech.edu)

### **Instructional Technologies Resource Center (ITDC)**

The ITDC is an educational technology development and resource center sponsored and operated by OIT for use by all Georgia Tech instructors. The Center supports the creation of a variety of educational technology projects including web page development, video digitization and editing, multimedia title development, and CD-ROM creation. OIT staff members, graduate students, and undergraduate technical assistants are in the Center to provide hands-on support and advice to faculty members as they work to integrate technology into their classrooms and curricula. For more information on the ITDC, visit <<http://edtech.gatech.edu/itdc/>>.

### **6.2.3. ENTERPRISE INFORMATION SYSTEMS**

Enterprise Information Systems (EIS) is responsible for designing, implementing, and supporting Georgia Tech's administrative information systems; developing and maintaining the Institute's data repository; and providing information management support to all departments.

EIS is currently focused on redesigning and upgrading all of the Institute's administrative information management systems to relational database technology. Commercially available products, including PeopleSoft, are being implemented and tailored to meet Georgia Tech's unique operational needs. Although there are many individual applications, the project is generally composed of four major components: student information systems, financial information systems, human resources/payroll systems, and departmental information system support.

EIS is engaged in a project with a number of campus organizations to provide Tech with a data warehouse and an easy to use set of access tools. These tools will make it easier for administrators to retrieve and use the decision-making data they need each day.

To maintain the technical expertise and leadership required to support not only this, but future generations of complex software systems, EIS remains committed to improving the data administration services, professional software services, and technical quality assurance services demanded by our customers. When major components of the current project are implemented, the Institute's administrative systems will be soundly established on a relational software foundation. The EIS staff will continue to play a leadership role in maintaining these systems, as well as in developing the next generation of executive information systems required to support the Institute into the next century.

#### **6.2.4. OPERATIONS AND ENGINEERING**

Operations and Engineering (O&E) is responsible for the design, development, operation, management, and maintenance of the core campus servers and systems, as well as the data, voice and video communications networks for the Georgia Tech community. As an extension of this responsibility, O&E coordinates with other campus units such as Strategic Planning and Facilities in the plans for information technology infrastructure, and services for new and existing buildings. O&E consists of multiple teams including the Engineering, Consolidated Operations, Advanced Development, Campus Backbone, Technical Support, and Financial Data Processing. These teams have individual roles as well as collaboration efforts. O&E also works jointly with the other OIT directorates; providing infrastructure for the administrative systems developed by Enterprise Information Systems, and augmenting Educational Technology activities such as high performance computing and multimedia projects. O&E also initiates and conducts research integral to campus initiatives which ensure continued growth and refinement of our information management and network technology resources.

Recent projects include Internet2 and FutureNet. Internet2 focuses on development and operation of advanced Internet services to address the unique needs of the research and education community. FutureNet consists of a series of initiatives to install or significantly upgrade the high bandwidth campus backbone network, internal building wiring, analog (CATV), and digital video distribution system.

O&E also collaborates with Georgia Tech academic and research faculty on related endeavors. For example, Georgia Tech is the home of the Georgia gigaPoP, the southeast's connection to Internet2. The Georgia gigaPoP is a service provided through a joint collaboration of Georgia Tech and Georgia State University. Numerous southeastern universities utilize the gigaPoP as their connection into the very high speed Backbone Network Service (vBNS). The vBNS is a

nationwide network that supports high performance, high bandwidth research applications, and serves as the initial backbone for Internet2.

The **Engineering** team is the front line for cabling infrastructure and related physical aspects. This group consults with faculty, staff, Facilities and contractors to provide expertise and recommendations in the design of new and/or upgrade of existing information technology infrastructure. In addition, the Engineering team provides analog and digital video capabilities to the campus. The team maintains and manages the campus Head End, and together with the Georgia Tech Cable Network office, provides satellite and cable feeds to the campus. This team works closely with Continuing Education and Education Technology to support distance learning initiatives. Engineering, in conjunction with the Advanced Development Group, has also supported unique requests for campus video conferencing and Webcast events, and has projects underway to explore the integration and application of cellular and wireless technology on campus.

The **Consolidated Operations** team serves several functions. The team primarily manages, operates and monitors Georgia Tech's central computer systems, network and dialin modems. In addition, they serve as the after-hours contact point for reporting high priority (critical systems) computer and network problems. The Ops Center houses the Network Operations Center, in which network viability is monitored and tracked. The Ops Center is located in Rich 133 and staffed 24 hours a day, 7 days a week. Operators monitor the systems used for campus services from E-mail to Web access to course registration and business processes. The operators also conduct system backups and reloads; and start up and shut down various subsystems and databases as needed. They ensure all systems are operational and maintained at an optimum level. The Ops Center also contains the campus switchboard; staffed by Telephone Operators who handle requests for information and route calls to appropriate departments.

Another service that is provided by the Ops team is campus telecommunications planning and equipment procurement. They handle all of the campus telephone and pager needs, and maintain information on currently available services and products.

Campus dialin modem access is provided primarily through dedicated PPP (Point to Point Protocol) lines currently available through the CampusCWIX program. This is very similar to offerings from other Internet service providers, with the exception that, when dialing in locally, all CampusCWIX accounts will be in the ".gatech.campuscwix.net" domain. Georgia Tech accounts are permitted to access the ACME/PRISM systems and other OIT systems that restrict usage to the ".gatech.edu" domain. Detailed information on this program is provided on the OIT Web site <<http://www.oit.gatech.edu/>> under "What Faculty and Staff Need to Know."

**The main dialin modem access numbers are:**

<b>Rotor</b>	<b>Settings</b>	<b>Capabilities</b>	<b>Timeout</b>
404-894-2100	8-N-1	28.8 Kbps V.34	10 minutes
404-894-2195	8-N-1	14.4 Kbps V.32	4 hours
404-894-4139	8-N-1	28.8 Kbps V.34	4 hours

The Advanced Development team has dual roles. They have primary responsibility for the networked information systems (E-mail, DNS, Web, news, etc.), and research and develop new services and applications for the Tech community. Key activities include Web-based tools, real audio and video capability, domain name service and network security. Advanced Development works closely with Engineering and Enterprise Information Systems to ensure system integrity and provide customer friendly tools and interfaces for campus use.

The Campus Backbone team is responsible for all aspects of the campus network, which consists of both copper cable and fiber networks (ethernet and ATM), plus advanced electronics (e.g. routers and switches). Specific activities include state-of-the-art systems analysis, network design, network installation, maintenance, testing and repair. This group works closely with Engineering, Technical Support, and the Ops Center to ensure smooth development, integration, monitoring and maintenance of all campus network-related resources.

Technical Support provides system administration, technical expertise and support for the campus core systems, including the academic, administrative, and high performance computing systems, monitored by the Ops Center. These systems include the PRISM complex, a UNIX-based environment for campus services which provides a unified file system, electronic mail, and campus printing services; plus numerous other servers which house databases and applications (PeopleSoft, BANNER, etc.) for the campus business offices, administration, and other units such as the Georgia Tech Research Institute. Tech Support analyzes the demand on these resources, which can vary depending on the time of year, and adjusts system configurations to ensure optimal availability and capability for the rapidly growing needs of the campus. Tech Support also plans and designs future system upgrades, and works closely with Enterprise Information Systems and initiative project teams to provide system architecture recommendations and test plans.

The Financial Data Processing (FDP) team manages many of the batch processes central to the administration and business elements of campus. These processes affect or serve all employees and students. For example, FDP runs the printing of all financial reporting. FDP also prints forms such as the 1099s, W-2s, 1042s, etc. FDP operates 20 hours per day, and works closely with the Office of Human Resources, Payroll, the Bursar, and others to provide support and guidance in the format and printing of a variety of standard forms and custom reports. In addition, FDP provides expertise to Enterprise Information Systems and other project teams to provide system architecture recommendations and test plans.

### **6.2.5. PLANNING AND PROGRAMS**

The Planning and Programs (P&P) Directorate's primary responsibility is the facilitation of information technology program management. In this context, a program is a group of related projects that are managed in a coordinated way. A project is a temporary endeavor undertaken to create a unique product or service. On-going operational support is provided for security services including incident management, vulnerability assessment, and awareness. Long-term objectives include coordination of OIT Strategic Planning and the articulation of an information architecture for the institute.

Project directors coordinate cross-functional teams in the development and implementation of information technology related projects. Activities include but are not limited to scope definition,

requirements analysis, project planning, task scheduling, project execution, and systems transition. Responsibilities vary by project depending upon specific project requirements.

### **6.2.6. RESOURCE MANAGEMENT**

Resource Management (RM) provides centralized management of budgetary, purchasing, facilities and human resource functions for the Office of the Associate Vice President and Associate Vice Provost for Information Technology and the six OIT directorates.

RM manages Georgia Tech's electronic data processing (EDP) approval process, Field Services (FS), Printing and Copying Services (PCS), revenue and expense accounting processes related to cost centers, property management, and the functions relating to personnel and policies of the Institute and Board of Regents.

Located at 811 Marietta Street, FS provides hardware support services for Tech faculty and staff for personal computers, printers, monitors and peripherals. FS also provides hardware contract maintenance support for various platforms and environments. These services are available through an annual service agreement or charged on a time and materials basis.

PCS, also located at 811 Marietta Street, provides a wide variety of printing services including desktop publishing, black and white and color copying, single and multicolor offset printing, and various types of binding and finishing services.

OIT Public Relations serves as the single point of contact for internal and external communications and media. Services from this office include: support for development and distribution of OIT printed materials, information updates concerning OIT to all campus publications, and presentations to faculty, staff and students to inform them about OIT offerings.

### **Office of Information Technology Phone Numbers**

#### **Dial in Modem Access:**

404-894-2100	28.8 Kbps	(Express-10 minutes)
404-894-2195	14.4 Kbps	(4 hours)
404-894-4139	28.8 Kbps	(4 hours)

Main Information Technology 404-894-9044 <<http://www.oit.gatech.edu>>

Network Operations Center 404-894-4669

Customer Support Center 404-894-7173 <<http://www.oit.gatech.edu/cs/csc/>>

Educational Technologies 404-894-6294

Enterprise Information Systems 404-894-4410

Operations & Engineering 404-894-6729

Planning & Programs 404-894-5547

Resource Management 404-894-2386

Software Distribution 404-894-6174

OIT on the World Wide Web is located at: <http://www.oit.gatech.edu>

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