

FACULTY HANDBOOK

2025

PREAMBLE

Faculty members and other academic employees of the LSU Health Sciences Center at New Orleans (LSUHSC-NO) are responsible for reading and adhering to the rules, regulations, and policies set forth in this Faculty Handbook.

As used in this Faculty Handbook, these terms are defined as:

- "Handbook" means the LSUHSC-NO Faculty Handbook
- "Bylaws" means the current *Bylaws* of the LSU Board of Supervisors, as updated and maintained on its website
- "Regulations" means the current *Rules and Regulations* of the LSU Board of Supervisors, as updated and maintained on its website
- "University Regulations" means, collectively, this Handbook, Bylaws, Regulations, LSU System Permanent Memoranda, and LSUHSC-NO Chancellor's Memoranda

Changes in University Regulations that arise after the publication of this Handbook will be disseminated in writing or electronically to the LSUHSC-NO community. Although every effort is made to keep information and links herein up to date, consult referenced materials and links in each section to ensure timely accuracy. To receive email notice whenever an update is made to University Regulations, click here to Subscribe to Policies and Procedures.

The annual process of review and revision of the Handbook is managed by the Vice Chancellor of Academic Affairs (VCAA) in conjunction with the Faculty Senate. Proposed changes to the Handbook should be submitted to the Faculty Senate or VCAA for possible inclusion in the next scheduled revision of the Handbook. The Faculty Senate is responsible for disseminating the latest version of the Handbook. It is also available on the Faculty Senate and VCAA webpages.

Questions about interpretation or clarification of matters in the Handbook should be submitted to the Department Head, Dean, or VCAA.

> The terms and provisions of this Handbook are subject to change as may be required by the Board of Supervisors of the Louisiana State University and Agricultural and Mechanical College, or applicable federal or state laws or policies, and are effective as of the date amended and approved unless otherwise noted. Any conflicting provisions will be resolved in favor of superseding University Regulations or laws as applicable, and all other provisions will remain in full force and effect.

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1.0 GENERAL INFORMATION

Louisiana State University Health Sciences Center at New Orleans (LSUHSC-NO) is an institution of the Louisiana State University (LSU) System. The LSU System was officially recognized as a public body corporate with the passage of the implementing legislation (RS 17:3202 and 3301) following the 1974 Louisiana Constitution. The Board of Supervisors of Louisiana State University and Agricultural and Mechanical College serves as the management board for LSUHSC-NO.

LSUHSC-NO, founded in 1931 as the LSU Medical Center, is Louisiana's flagship and most comprehensive academic health sciences center, with six schools, four research centers of excellence, and multiple instructional and clinical sites across the state. The institution employs more than 2,000 people, educates more than 3,000 students annually, and treats more than 1 million patients each year.

Click here for general information about campus services and offices.

1.1 VISION, MISSION, ROLE, AND SCOPE

The institutional vision of LSUHSC-NO is to be the catalyst for a healthy Louisiana.

LSUHSC-NO's mission is to educate the future health professions workforce, lead advancement in research and scholarship, provide exceptional and equitable health care, and partner and advocate to build healthy communities.

LSUHSC-NO's educational programs across its six schools prepare students for careers as health care professionals and scientists. The university disseminates and advances knowledge through regional, statewide, national, and international programs of basic, translational, community-based, and clinical research, resulting in publications, advances in diagnosis, treatment and care, and economic enhancements that meet the changing needs of the State of Louisiana.

LSUHSC-NO provides vital public service through direct patient care, including care of uninsured and indigent patients. Health care services are provided through LSUHSC-NO clinics in allied health, dentistry, medicine, nursing, and in numerous affiliated hospitals and clinics throughout Louisiana.

LSUHSC-NO provides referral services, continuing education, and information relevant to the public health of the citizens of Louisiana. In addition, LSUHSC-NO works cooperatively with two Area Health Education Centers (AHECs), whose programs focus on improving the number and distribution of health care providers in underserved rural and urban areas of Louisiana and on supporting existing rural health care providers through continuing education programs.

More information about LSUHSC-NO can be found on the institution's homepage at www.lsuhsc.edu.

1.2 INSTITUTIONAL ACCREDITATION

LSUHSC-NO is accredited by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) to award associate, baccalaureate, masters, and doctoral degrees. Degree-granting institutions also may offer credentials such as certificates and diplomas at approved degree levels. Questions about the accreditation of LSUHSC-NO may be directed in writing to the Southern Association of Colleges and Schools Commission on Colleges at 1866 Southern Lane, Decatur, GA 30033-4097, by calling (404) 679-4500, or by using information available on the SACSCOC's website (www.sacscoc.org).

1.3 ORGANIZATIONAL CHART

Click here to view the LSUHSC-NO organizational chart.

1.4 GOVERNING POLICIES

As a Louisiana public university and a constitutionally designated member institution of the LSU System, LSUHSC-NO operates under the following policies and procedures:

- The Constitution and Laws of the State of Louisiana
- LSU Board of Supervisors Bylaws
- LSU Board of Supervisors Regulations
- LSU System Permanent Memoranda (PM)
- LSUHSC-NO Chancellor's Memoranda (CM)
- Louisiana Board of Regents Policies and Procedures

1.4.1 LSU Board of Supervisors Bylaws and Regulations

The Board of Supervisors of Louisiana State University and Agricultural & Mechanical College (the "LSU Board") manages the eight institutions within the LSU System. The LSU Board, established by Article 8, Section 7 of the Louisiana Constitution, is empowered and granted the authority and responsibility to supervise and manage the institutions, statewide agricultural programs, and other programs administered through its system. The Constitution provides that the fifteen board members will be appointed to staggered six-year terms by the governor, confirmed by the Louisiana Senate, with two members appointed from each congressional district and the remaining members from the state at large. The LSU Board also includes a student member, selected annually from among the student government presidents within the LSU System institutions, to serve a single one-year term with all the same rights and privileges of other LSU Board members.

The LSU Board publishes and regularly updates its Bylaws and Regulations, which govern the operations of the LSUHSC-NO.

1.4.2 LSU System Permanent Memoranda (PMs)

Permanent Memoranda (PMs) represent governing policies for all institutions in the LSU System and are issued by the LSU President. Along with the Bylaws and the Regulations of the LSU Board, the PMs are binding on all institutions of the LSU System, addressing policy

issues that are of a system-wide character, established for the purpose of administrative governance and to implement or interpret laws, rules or regulations.

The LSU President takes care to assure that Permanent Memoranda, when issued, comply with then-applicable controlling laws, rules, regulations, and policies. However, it is recognized that changes in such laws, rules, regulations, or policies may result in all or a portion of a PM becoming incorrect or outdated until necessary revision is made. In such cases, those portions of PMs that are contrary to or in conflict with any controlling law, rule, regulation, or policy are superseded. To the extent that the remainder of a PM is unaffected by a change in controlling laws, rules, regulations, or policies, the remaining portion of the PM will remain valid and in effect (unless the PM itself states otherwise). PMs do not grant rights to any party.

It is important that all LSUHSC-NO faculty and academic employees familiarize themselves and comply with all PMs.

1.4.3 LSUHSC-NO Chancellor's Memoranda (CMs)

Chancellor's Memoranda (CMs) provide campus-specific guidance for all faculty, staff, and students of LSUHSC-NO. These policies apply only to LSUHSC-NO and are subject to all PMs and the LSU Board Bylaws and Regulations. It is important that all LSUHSC-NO faculty and academic employees familiarize themselves and comply with all CMs.

The Chancellor takes care to ensure that Chancellor's Memoranda comply with then-applicable controlling laws, rules, regulations, and policies. However, should changes in such laws, rules, regulations, or policies result in all or a portion of a CM becoming incorrect or outdated until necessary revision is made, those portions of a CM that are contrary to or in conflict with any controlling law, rule, regulation, or policy will be superseded. To the extent that the remainder of a CM is unaffected by a change in controlling laws, rules, regulations, or policies, the remaining portion of the CM will remain valid and in effect (unless the CM itself states otherwise).

1.4.4 Louisiana Board of Regents Policies & Procedures

The Board of Regents for Higher Education of the State of Louisiana (the "Regents"), created by the Louisiana Constitution of 1974, has certain jurisdiction over higher-education systems and institutions in the state, including institutions within the LSU System. The Regents have the power to:

- Revise or eliminate existing academic programs, departments, and divisions
- Study and/or recommend the creation of a new higher-education institution or management board
- Formulate and revise master plans for higher education
- Recommend budgets for all institutions of higher education to the Governor and the Louisiana Legislature
- Perform all other duties as prescribed by law (Constitution of 1974, Article VIII, Section 5; Act 313 of the Louisiana Legislature, 1975 Regular Session.)

In particular, the Regents have responsibility for approval and oversight of certain actions regarding academic programs; the management of programs under the Board of Regents

Support Fund ("BORSF"), including endowed chairs, endowed professorships, and endowed scholarships; and all proposals for new, revised, or renewed academic programs, departments, divisions, centers, institutes, and centers of excellence.

Please consult with the VCAA for assistance early in the process if you intend to propose any changes to academic programs, divisions, or departments; apply for a new, revised, or renewed center, institute, or center of excellence; or apply for any Regents-supported endowment programs. All such requests must be routed through and approved by the VCAA and Chancellor prior to submission to the LSU System Office for consideration by the LSU Board; upon LSU Board approval, the LSU System staff will transmit the request to the Regents for consideration.

1.5 STRATEGIC PLAN 2024-2028

LSUHSC-NO regularly updates its strategic goals to optimize its academic, research, educational, clinical, and community impact missions, sharpen its focus on each mission area, and align its resources and activities toward success.

As Louisiana's premier public academic health care leader, one of Louisiana's most powerful economic engines, and pursuant to Legislative Act 1465 of 1997, LSUHSC-NO defines goals and measurable objectives for advancement to the Louisiana Legislative Auditor in a regularly updated five-year Strategic Plan.

1.6 CATALOG/BULLETIN

The LSUHSC-NO Catalog/Bulletin describes the current curricula, educational plans, degree offerings and requirements, which may be altered from time to time to carry out the purposes and objectives of the institution. Click here to view the LSUHSC-NO Catalog/Bulletin.

1.7 COMPLIANCE & TRAINING

As a condition of employment and/or enrollment at LSUHSC-NO, faculty are required to complete training in accordance with federal and state laws / regulations and LSUHSC-NO and LSU System policies. Click here for the Compliance Training Policy and required trainings.

1.8 VICE CHANCELLOR FOR ACADEMIC AFFAIRS

As the Chief Academic Officer for the LSUHSC-NO, the Vice Chancellor for Academic Affairs (VCAA) is responsible for the operations of three major areas of the university – Academic Affairs, Research, and Student Affairs. The VCAA oversees program and curriculum changes; ensures LSUHSC-NO's compliance with pertinent Louisiana and federal laws, LSU Board Bylaws and Regulations, Chancellor's Memoranda, and institutional accreditation standards; publishes the Faculty Handbook; and serves as the institutional Research Integrity Officer (RIO).

1.8.1 General Information

The Office of the Vice Chancellor for Academic Affairs is located in the Resource Center

Building, 433 Bolivar St., Room 825. Contact the office at 504-568-4804.

1.8.2 Animal Care

The Division of Animal Care (DAC) supports the research activities of LSUHSC-NO faculty, staff, postdoctoral fellows, residents, and students by fostering a comprehensive program of quality animal care. The DAC provides high-quality laboratory animals, ensures humane care and use of all laboratory animals, provides expert technical knowledge, and provides training of all faculty and staff in accordance with related laws and guidelines of all federal and state agencies. LSUHSC-NO and the DAC are committed to supporting continued advancements in biomedical research.

The Division of Animal Care is located in the Clinical Science Research Building, 533 Bolivar St, Suite 203. Contact the office at 504-568-6090 or online. Intranet access is password protected.

1.8.3 Campus Assistance Program

Campus Assistance Program (CAP) is a free service provided by LSUHSC-NO to support the mental, emotional, and physical well-being of students, faculty, staff, and their immediate family members to promote the overall health and effectiveness of the LSUHSC-NO community. CAP assists in resolving personal, academic, or work-related problems.

CAP is located in the Human Development Center, 411 S. Prieur St., Suite 233. Contact the office at 504-568-8888.

1.8.4 Disability Services

The Office of Student Advocacy & Title X facilitates the process of academic accommodations for students with disabilities and works in collaboration with the professional schools of the LSUHSC-NO in an attempt to ensure full participation in all activities, programs, and services of the institution. The office operates in accordance with the ADA, ADAA, and Section 504 of the Rehabilitation Act of 1973.

The office is located in the Resource Center Building, 433 Bolivar St., Room 826A. Contact the office at 504-568-2211.

1.8.5 Financial Aid

The Student Financial Aid Office administers grants, loans, scholarships, and part-time employment. Awards from aid programs funded by the federal or state government are administered according to laws and regulations governing those programs. Priority is given to students with the greatest documented need whose completed applications are received by the appropriate deadline.

Financial Aid is located in the Resource Center Building, 433 Bolivar St., Suite 215. Contact the office at 504-568-4820.

1.8.6 Innovation & Partnerships (Technology Transfer)

The primary responsibility of the Office of Innovation & Partnerships is to advance innovation by serving the faculty, staff, and students; support the research enterprise; and partner with entrepreneurs and businesses to collaborate on translational research and commercialize inventions that enhance the economy and benefit the public.

In partnership with the Office of Research Services, the office assists in establishing and enabling the relationships and formal agreements necessary for certain aspects of research and collaboration to occur, including Material Transfer Agreements (MTAs), Confidential Disclosure Agreements (CDAs), and Inter-Institutional Agreements (IIAs).Several policies (PM-11, PM-67, and CM-35) address technology transfer and commercialization related activities.

The Office of Innovation & Partnerships is located in the Resource Center Building, 433 Bolivar St., Suite 818. Contact the office at 504-568-3619.

1.8.7 Institutional Effectiveness

The Office of Institutional Effectiveness leads institutional effectiveness, accreditation, and assessment efforts for the Health Sciences Center. The office directs the campus-wide Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) accreditation process to comply with core requirements, comprehensive standards, and federal requirements. Additionally, the office oversees the institutional assessment process to facilitate data-driven efforts to improve academic programs, administrative units, and student-support services.

The Office of Institutional Effectiveness is located in the Resource Center Building, 433 Bolivar St., Room 827. Contact the office at 504-568-2072.

1.8.8 International Services

The Office of International Services offers professional guidance and immigration-related services to international students and scholars who come to LSUHSC-NO to fulfill their educational and professional goals. The office provides direct support with immigration, employment, and other personal matters.

The Office of International Services is located in the Resource Center Building, 433 Bolivar St., Room 206B. Contact the office at 504-568-4802.

1.8.9 Interprofessional Education & Collaborative Practice

The Office of Interprofessional Education and Collaborative Practice (IPECP) oversees a variety of interprofessional collaborative efforts among the six schools at LSUHSC-NO, including Single IPE Experiences, the Interprofessional Student Alliance, the Interprofessional Scholars Program, and Team Up™, a two-year educational experience in which team-based skills are built and refined using real-world application and practice. The

IPECP office also encourages professional development opportunities, both state and nationwide for staff, faculty, and students.

IPECP is located in the School of Allied Health/Nursing Building, 1900 Gravier St., Suite 627. Contact the office at 504-568-4426.

1.8.10 Libraries

The John P. Isché and Dental Libraries serve all LSUHSC-NO students, faculty, residents/fellows, and staff with a wide array of services, electronic materials (databases, books and journals), as well as print materials. Library staff includes dedicated librarian liaisons assigned to each school.

John P. Isché Library
Resource Center Building
433 Bolivar St., 3rd floor
504-568-6100

Dental Library
Dental School Administration Building
1100 Florida Ave, 3rd Floor
504-941-8158

1.8.11 Registrar

The Office of the Registrar maintains the Catalog/Bulletin, verifies residency requirements, and manages commencement. In addition, the Student Self-Service Portal allows students to print unofficial transcripts, update their mailing address, view enrollment history, check loan deferments sent to lenders, and link to real-time information on their student loans. The Registrar coordinates enrollment and degree verification through the National Student Clearinghouse and serves as the certifying official for Department of Veterans Affairs entitlement programs.

The Office of the Registrar is located in the Resource Center Building, 433 Bolivar St., 1st Floor. Contact the office at 504-568-4829.

1.8.12 Research Services

In addition to assisting investigators in identifying funding opportunities, the Office of Research Compliance & Services has the following responsibilities:

- Management of pre-award, sponsored project activity. All grant applications, research agreements, and clinical trial agreements are evaluated and routed for signatures.
- Management of the Institutional Animal Care and Use Committee (IACUC), which provides oversight for the welfare of animals used in research.
- Management of the Institutional Review Board (IRB), which provides oversight for the protection of human subjects used in research and as defined by federal regulations, includes authority over any study using live human subjects, or data, or tissue collected from live humans. The IRB is responsible for reviewing all research projects involving the use of human subjects to determine the following:
    - Legally effective informed consent is obtained by adequate and appropriate methods.

    - The risks to the subject are so outweighed by the sum of the benefits to the subject and the importance of the knowledge to be gained, as to warrant a decision to allow the subject to accept those risks.
    - The rights and welfare of the subject are adequately protected.
- Management of the Institutional Biosafety Committee (IBC), which, in concert with the Office of Environmental Health and Safety and the Office of Research Services, provides the framework for risk management associated with research-related, biosafety issues. The primary objectives of this risk management program include protecting individuals, research animals, facilities, and the community from potential dangers associated with biohazardous material.

The Office of Research Compliance & Services is located in the Resource Center Building, 433 Bolivar St., Suite 206. Contact the office at 504-568-4970.

1.8.13 Student Health

The Student Health Clinic offers a variety of health services. Physicians and nurse practitioners in the Student Health Clinic are board certified and see patients at 478 S. Johnson Street, Room 307. Contact the clinic at 504-568-1800.

1.8.14 Title IX

LSUHSC-NO is committed to providing a learning, working, and living environment that promotes integrity, civility, and mutual respect in an environment free from discrimination and harassment on the basis of sex, gender, sexual orientation, gender identity, and pregnancy/parenting status; sexual misconduct which includes, sexual harassment, dating violence, domestic violence, sexual assault, stalking, power-based violence; and retaliation. Violence may cause lasting physical and psychological harm and can permanently affect our employees' and students' lives. LSUHSC-NO believes that violent, threatening, or harassing behavior violates our institutional values and presents a barrier to fulfilling the Health Sciences Center's mission of education, research, and public service.

All LSUHSC-NO employees and students have a reasonable expectation to a safe and secure working and learning environment free of threats and assaults. Employees and students also have a responsibility to help ensure the safety and security of the LSUHSC-NO campus.
LSUHSC-NO is committed to maintaining a campus free from violence including sexual assaults, threats of violence including verbal and non-verbal threatening behavior, and harassment. Such behavior is unacceptable and is not permitted on the LSUHSC-NO campus.

The LSUHSC-NO Title IX Coordinator is located in the Resource Center Building, 433 Bolivar St., Room 826A. Contact the office at (504) 568-2211 or titleix@lsuhsc.edu.

Click here for more information about reporting or submitting an inquiry as well as for campus resources.

1.9 VICE CHANCELLOR FOR ADMINISTRATION & FINANCE

As the Chief Financial Officer and Chief Administrative Officer for LSUHSC-NO, the Vice

Chancellor for Administration & Finance (VCAF) is responsible for facilitating the successful financial performance and operation of the institution, leading a wide portfolio of areas within the administrative and finance division, including accounting services such as financial reporting, cost accounting, asset management, bursar, payroll, billing and accounts receivable, accounts payable, travel/direct pay, and sponsored projects; auxiliary enterprises; budgeting; contracts management; human resources; information technology; and property and facilities.

1.9.1 General Information

The Office of the Vice Chancellor for Administration & Finance is located in the Resource Center Building, 433 Bolivar St., Suite 811. Contact the office at 504-568-5135.

1.9.2 Accounting Services

The Accounting Services department performs accounting, reporting, and record-keeping functions. Its primary responsibilities include preparation of annual financial statements and surveys; preparation of the facility and administrative cost proposal and other cost accounting reports; maintenance of the PeopleSoft financials general ledger, asset management, billing, and accounts receivable systems; managing and reconciling all University bank accounts; billing and collection of all non-research grants and contracts; billing and collection of tuition and fees; managing and reconciling all University property; ensuring all employees are compensated and appropriate withholdings and remittances are identified for payroll-related taxes; and ensuring payment to vendors and reimbursement to faculty and staff for business and travel expenses. The department consists of the following sections:

- General Accounting
- Accounts Payable
- Asset Management
- Billing and Accounts Receivable
- Bursar's Office
- Cost Accounting
- Financial Reporting
- Payroll
- Sponsored Projects Accounting
- Travel and Direct Pay

Accounting Services is located in the Resource Center Building, 433 Bolivar St., 6th Floor.

1.9.3 Auxiliary Enterprises

Auxiliary Enterprises provides diverse services to enhance the experience for students, faculty, staff, and campus visitors, including:

- Access Control & Network Wiring: Manages the hardware and software responsible for access control on campus, including all card readers, automatic doors, security cameras, monitors, and storage media, as well as all network wiring runs required on campus.
- Campus Bookstores: Sells textbooks, instrument kits, lab coats, scrubs, graduation regalia, as well as convenience items and branded apparel and merchandise.

    - Downtown Bookstore, Resource Center Building, 433 Bolivar Street, 2nd Floor.
    - Dental Bookstore, Administration Building, 1100 Florida Ave., 3rd floor
- Campus Technology & Supply Store: Provides printing and copier services, furniture sales and design services, and computer sales and service. Medical Education Building (MEB), 1901 Perdido St., 2nd floor.
- Dining Services: Provides breakfast, lunch, coffee, and catering services for faculty, staff, students, and visitors. Locations:
    - Main Cafeteria, MEB, 3rd Floor
    - Coffee Kiosk in the Atrium, between MEB 3rd Floor and Allied Health/Nursing Building, 3rd Floor
    - Dental School Café, Administration Building, 1100 Florida Ave., 1st Floor
- Parking Services: Responsible for providing fiscal oversight, administration, and management of parking services for the university's approximately 4,200 spaces. Resource Center, 433 Bolivar St., 1st floor.
- Scientific Supply Center: Supports our research community by stocking repetitive-use scientific supplies as well as providing consultation, sales, and support of large and small scientific equipment. Medical Education Building, 1901 Perdido St., 2nd floor.
- Student Housing: Administers all aspects of housing for students residing at the Residence Hall at 1900 Perdido St., with 180 living units.
- Wellness Center: State-of-the-art fitness facility boasting a wide variety of new cardiovascular and strength-training equipment as well as a diverse mix of group exercise classes and personalized assessment and training services. Center for Advanced Learning and Simulation (CALS), 2021 Perdido St., 3rd Floor.

Auxiliary Enterprises Administration is located in the Residence Hall Building, 1900 Perdido Street, 2nd Floor.

1.9.4 Contracts Management

Contracts Management provides support to schools and departments relative to all aspects of the contract-negotiation process: initial review, budget preparations, drafting and direct communications with contracting partners, contract execution, tracking and monitoring, invoicing and reconciliation support, performance evaluations, renewal, and amendment negotiations.

Contract areas of focus are personal, professional, social, and consulting agreements; academic affiliations and student, resident, and fellow agreements; large public-private partnership collaboration agreements; expenditure contracts; and sub agreements from federal and non-federal grants and clinical trials.

Contracts Management is located in the Clinical Science and Research Building, 533 Bolivar St., 3rd Floor. Contact the office at 504-568-3890.

1.9.5 Human Resource Management

The Office of Human Resource Management (HRM) is responsible for hiring/onboarding, compensation, benefits, retirement, annual/sick leave, new employee orientation (NEO), employment verification, investigations, conflict resolution and mediation, reasonable accommodations and compliance with the Americans with Disabilities Act (ADA), Family Medical

Leave Act (FMLA), leave without pay (LWOP), workers compensation, and annual performance planning for faculty and staff. HRM consists of the following sections:

- Compensation and Benefits
- Employee Relations
- Human Resources Information Systems (HRIS)
- Talent Acquisition and Operations
- Talent Development

HRM is located in the Resource Center Building, 433 Bolivar Street, 6th floor. Contact the office at 504-568-4834.

Click here for information on employee and manager self-service, attendance, leave, benefits, compensation, as well as many other resources.

1.9.6 Information Technology

The Department of Information Technology (IT) provides information technology services, PeopleSoft administrative system support, and account security for LSUHSC-NO. Areas of focus include:

- Academic support services
- Applications
- Database and user support services, including email, audio-visual, and computer support
- Information security
- Servers, networking, operations, and telecommunications

Information Technology is located in the Resource Center Building, 433 Bolivar St., 7th Floor. Contact the office at 504-568-6130.

1.9.7 Property and Facilities Management

The Office of Property and Facilities Management is responsible for the planning and administration of all property and facility operations and maintenance for LSUHSC-NO. The office oversees planning of space and property, capital budgeting, construction management, and building management, including renovations, maintenance, and repair of buildings and facilities and the provision of utilities, grounds care, custodial, trash collection, recycling, and other services.

Property and Facilities consists of the following units:

- Environmental Health and Safety
- Facility Services
- Planning and Construction

Property and Facilities is located in the Resource Center Building, 433 Bolivar St., 8th Floor. Contact the office at 504-568-7716.

1.9.8 Supply Chain Management

Supply Chain Management provides support services to LSUHSC-NO faculty, staff, and students, including Mail and Receiving Services, Purchasing, and Scientific Supply Center.

Supply Chain Management is located in the Resource Center Building, 433 Bolivar Street, 6th Floor. Contact the office at 504- 568-2412.

1.10 VICE CHANCELLOR FOR GOVERNMENTAL, COMMUNITY & SECURITY AFFAIRS

The Vice Chancellor for Governmental, Community & Security Affairs is responsible for overseeing the management and operations of the University Police Department, tracking and managing malpractice insurance matters, and supporting community and governmental affairs and contacts.

1.10.1 General Information

The Office of the Vice Chancellor for Governmental, Community & Security Affairs is located in the Resource Center Building, 433 Bolivar St., Suite 816. Contact the office at 504-568-4810.

1.10.2 Campus Security & University Police

The primary mission of the LSUHSC-NO University Police Department (UPD) is to secure, defend, and protect, our faculty, staff, students, patients, and visitors, as well as the physical properties of LSUHSC-NO. The UPD is the legal enforcement authority on LSUHSC-NO property and on all streets, roads, and rights-of-way to the extent they are within or contiguous to the perimeter of the campus.

Contact University Police on the downtown campus at 504-568-8999 or on the Dental campus at 504-941-8100.

As an added measure of security for its faculty, staff, and students, LSUHSC-NO uses uTip, a text-messaging service that alerts University Police to emergencies. Send a text message to **79516,** beginning with LSUHSC, to notify University Police of an emergency situation.

The LSU Shield App is a free smartphone app for iPhone and Android that allows users to:

- summon emergency services by telephone with a single button
- submit non-emergency reports including pictures and videos
- two-way chat with University Police
- submit reports anonymously
- instantly notify your contacts of your safety and location

1.10.3 Government & Community Relations

The Vice Chancellor for Governmental, Community, & Security Affairs leads efforts to develop community contacts, ethical presence, and organization through public presentations with other educational institutions and the external social, business, and governmental communities on behalf of LSUHSC-NO.

1.11 OMBUDS OFFICE

The LSU Ombuds Office, with an Associate Ombuds directly serving the entire LSUHSC-NO community, provides a confidential, impartial, independent, and informal process for faculty, staff, medical residents, and graduate and undergraduate students to seek assistance and guidance to resolve barriers to productivity and increase the quality of their experience at LSUHSC, encouraging fairness and equity through issue resolution, communication and outreach, and systemic change and issue prevention identification.

The LSUHSC-NO Associate Ombuds is available for telephone, Zoom, or in-person meetings. Contact the office at 225-578-0337.

2.0 DEFINITION OF FACULTY

1. The LSU Board's Bylaws and Regulations establish the vital importance of faculty to the institutional enterprise. All full-time members of the academic staff having the rank of Instructor or higher (or equivalent ranks) shall constitute the faculty of the campus on which they are appointed, and part-time members of the academic staff having the rank of Instructor or higher (or equivalent ranks) may be enfranchised to the degree deemed appropriate by the LSUHSC-NO faculty.

2. LSUHSC-NO is committed to the principle of academic freedom. Each member of the academic staff is expected to be devoted to the accomplishment of the purposes for which the University exists: instruction, research, and public service. Those members of the academic staff who comprise the faculty of the University are charged to determine the educational policy of the University through deliberative action in their respective units and divisions.

2.1 FACULTY RANKS

2.1.1 Full-Time Academic Ranks

1. The LSU Board, through its Bylaws, Regulations, and PM-23, have established a system- wide classification of academic ranks, along with associated rights and responsibilities of each rank.

2. Academic employees may be either faculty or other academic employees. Faculty are full- time members of the academic staff of LSUHSC-NO with the rank of instructor or above. Other academic employees include part-time members of the academic staff, members of the academic staff below the rank of instructor, and other personnel with academic responsibilities not holding faculty rank. Those who rank as Associate or Instructor shall be appointed for a specified term and shall not be considered for indeterminate tenure appointment.

3. Refer to PM-23 for the particular criteria, status, appointment, and tenure requirements, as well as educational provisions associated with each rank in the LSU System. Those ranks below marked with (F) have faculty status:

- Associate
- Library Associate
- Instructor (F)
- General Librarian (F)
- Assistant / Associate / Librarian (F)
- Assistant Professor / Associate Professor / Professor (F)
- Full-Time Affiliate (FTA) -Assistant / Associate / Professor (F)
- Visiting Instructor / Assistant Professor / Associate Professor / Professor
- Designated Professorships (F)
- Postdoctoral Researcher / Senior Postdoctoral Researcher (F)
- Research - Instructor / Assistant Professor /Associate Professor / Professor (F)
- Assistant / Associate / Professor of Clinical (*Specialty*) (F)
- Adjunct Clinical Professor of (*Specialty*) (F)

2.1.2 Part-Time Academic Ranks

1. Faculty employed on a part-time basis by LSUHSC-NO shall be recognized by one of the following ranks and shall be given term appointments only, not exceeding one academic or fiscal year.

2. Refer to PM-23 for details regarding faculty status of each category:

- Part-Time Associate / Instructor / Assistant Professor / Associate Professor / Professor
- Adjunct Instructor / Assistant Professor / Associate Professor / Professor
- Special Lecturer
- Part-Time Clinical Instructor / Assistant Professor / Associate Professor / Professor
- Part-Time Library Associate / General Librarian / Assistant Librarian / Associate Librarian / Librarian

2.2 BOYD PROFESSORSHIPS

1. A faculty member who has attained national or international distinction for outstanding teaching, research, or other creative achievement may be designated a "Boyd Professor," the highest professorial rank awarded by the LSU System. No faculty member holding an administrative position of the rank of dean or above shall be eligible for designation as a "Boyd Professor."

2. Nomination of a professor for designation as a "Boyd Professor" shall originate with a dean or deans (in the case of split appointments) of the schools in which a nominee holds professorial status, transmitted as a recommendation through the VCAA to the Chancellor along with the candidate's CV, their ten most important publications, and the names of at least 30 esteemed peer reviewers. If the VCAA and Chancellor endorse the nomination, it will be transmitted to the LSU EVP for Academic Affairs for consideration by the LSU System Boyd Professor Review Committee. Further information about the nomination and review process can be found in PM-74.

3. At all times, this nomination shall remain confidential, and the nominee shall not be informed of their nomination unless and until the LSU Board awards the distinction of this rank to the nominee at the conclusion of the evaluation process.

2.3 EMERITUS RANKS

1. Pursuant to the Regulations and to PM-69, the title Professor Emeritus may be conferred by the Chancellor upon all persons who upon retirement have attained the title of Professor and who have been in the service of LSUHSC-NO for a period of at least 10 years.

2. The title may also be conferred, upon recommendation of the campus, at the discretion of the LSU Board upon a person who upon retirement has attained the title of Professor even though the period of service is less than 10 years, if it is determined that the person has made outstanding contributions to LSUHSC-NO in either the field of scholarship or public service.

3. Any person who has held the position of academic dean, director, or department head for a period of 10 years may retire with the title Dean, Director, or Department Head Emeritus.

Where applicable to other positions within LSUHSC-NO, an Emeritus title may be conferred upon the recommendation of the Chancellor or President in appropriate cases.

2.4 ADMINISTRATORS WITH FACULTY RANK

A faculty member who accepts an administrative position within LSUHSC-NO shall maintain their faculty status, rank, and tenure rights.

When a faculty member accepts an administrative appointment, the distribution of their effort and duties will be clearly defined in writing.

3.0 ACADEMIC APPOINTMENTS

1. The LSU Board Regulations and PM-23 provide that faculty members and other members of the academic staff of comparable rank, including librarians, may be appointed for a specific term ("term appointment") or indefinitely ("tenured appointment"), depending on rank and experience.

2. Appointment or tenure at LSUHSC-NO carries no implication of appointment or tenure on another campus of the LSU System. Academic employees are tenured only with respect to their academic ranks and not with respect to administrative titles or assignments. Tenure is not a guarantee of lifetime employment, particularly in the face of institutional change or financial exigency; tenure does assure that the employee will not be dismissed without adequate justification and due process.

3. Each appointment or promotion of a member of the academic staff shall be made upon the basis of merit and the special fitness of the individual for the work demanded by the position. LSUHSC- NO employees may be employees for the academic year, fiscal year, summer term, or other stipulated terms and shall be paid in accordance with procedures established for their employment. The terms of the appointment of each member of the academic staff shall be reduced to writing and a copy thereof furnished to each of the contracting parties.

3.1 TENURED AND TERM APPOINTMENTS

Appointments to a faculty or other academic staff position require, at a minimum, a letter from an appropriate LSUHSC-NO official offering a position with salary and duties specified (which duties are subject to change based upon LSUHSC-NO needs), a letter of acceptance of those terms, the completion of a faculty appointment personnel form, and the appearance of a faculty member's name in the operating budget. Any appointment, term or indefinite, may be terminated for cause. Handbook Section 8.0 provides specific details about tenure and the tenure review process.

3.1.1 Term Appointments

Term employees are appointed for specified periods of time as indicated on the appointment form. Those who rank as Associate or Instructor shall be appointed for a specified term and shall not be considered for indeterminate tenure. Term appointments shall be used at the lower academic ranks and ordinarily for initial appointments at all levels. Part-time academic staff shall be given term appointments only, not exceeding one academic or fiscal year.

3.1.2 Expiration of Appointment

1. Upon expiration of a term appointment, the employee is a free agent to whom LSUHSC-NO has no obligation. LSUHSC-NO may reappoint the employee to the same or a different position.

2. Non-reappointment carries no implication whatsoever as to the quality of the employee's work, conduct, or professional competence.

3. The decision not to renew a term appointment is not subject to the LSUHSC-NO appeals procedure. However, failure to follow established procedures in non-

reappointment to a term appointment is appealable.

4. When an academic employee on a term appointment will not be reappointed, written notice will ordinarily be provided to them in accordance with the following schedule:

a) Not later than March 1 of the first academic year of service, if the appointment expires at the end of the year; or if an initial one-year appointment terminates during an academic year, at least three months in advance of its termination.

b) Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or if an initial two-year appointment terminates during the academic year, at least six months in advance of its termination.

c) At least 12 months before the expiration of an appointment after two or more years' service on that campus.

d) When an Associate is not reappointed, they shall be given written notice of termination no less than 90 days prior to the expiration of the employment contract.

3.1.3 Indefinite Term and Probationary Appointments

1. Professors and Associate Professors are tenured and therefore appointed for an indefinite period, except that the initial appointment and subsequent reappointments through not more than five (5) years of service may be made for a stipulated term. Persons promoted to the rank of Professor or Associate Professor after less than five (5) years of service on the campus may be continued to term appointment through no more than the fifth year.

2. Persons holding a professorial rank (Professor, Associate Professor, or Assistant Professor) while being paid by a grant or contract do not acquire tenure through the passage of time but may become tenured only by specific individual recommendation through appropriate channels and approval by the President.

3. No principle of tenure shall be permitted to protect any person from removal from a position after full and careful investigation, according to procedures of due process, has revealed that the person has not met and does not give promise of meeting the responsibilities of the position.

3.1.4 Special Rule for Assistant Professors

1. Assistant Professors are appointed for terms no longer than three years. Upon reappointment after seven years of service in rank on a particular campus, Assistant Professors receive tenure. A thorough review will be made during the sixth year of service so that notice of termination may be given, if necessary, no later than the end of the sixth year of service.

2. Pursuant to PM-69, the Chancellor has authority, with sufficient justification, to delay the tenure clock beyond this standard sixth-year review term.

3. LSUHSC-NO has the option of conducting a thorough review prior to the sixth year,

provided that appropriate written notification is given to the faculty member and may, at its discretion, count prior service on the same campus toward the seven-year evaluation period for an Assistant Professor to achieve indeterminate tenure. The ultimate decision shall be left with the Chancellor and President, to be applied in each individual case for which LSUHSC-NO recommends granting indeterminate tenure counting prior service.

3.2 LOCUS OF APPOINTMENT

1. The locus of all faculty or other academic staff appointments, whether term or indefinite, shall be the principal location of assigned activity for that person. The employment letter to each prospective faculty or other academic staff member shall state the locus of the appointment.

2. Faculty members may be assigned occasional teaching duties at various affiliated campuses and health-care facilities associated with LSUHSC-NO, subject to the terms and conditions agreed upon in their letters of appointment or as otherwise negotiated.

3.3 PERIODS OF APPOINTMENT

1. Periods of Appointment (POA) clearly specify the time frame encompassed by the employment relationship and definitively end on a specific date. Because of the time-limited nature of POAs, the faculty or other academic staff member waives normal notice requirements and agrees to do so when accepting the terms of employment.

2. POAs are usually part-time in nature. When full-time, POAs are normally limited to a maximum of one year in duration. POAs are subject to review by the normal institutional appointment process, including, but not limited to, review by the school Appointments and Promotions Committee, if relevant. No annual or sick leave is accrued on a POA.

3.4 RANK AND TYPE OF APPOINTMENT

The type of appointment and designation of rank, consistent with this Handbook, PM-23, PM-69 and the Bylaws and Regulations, are recommended by the Department Head/Chair, subject to approval by the Dean of the School, VCAA, Chancellor, and LSU President.

3.5 APPOINTMENT OF FACULTY REQUIRING WORK AUTHORIZATION SPONSORSHIP

1. Potential faculty members who have accepted a formal written offer of employment from LSUHSC-NO but do not possess appropriate work authorization for the offered position may be eligible to receive sponsorship for U.S. work authorization from LSUHSC-NO.

2. Once the potential faculty member has returned a signed letter of offer, the hiring department should contact the Office of International Services for assistance in determining potential eligibility for sponsorship and the most appropriate status option available to the potential faculty member for the offered position.

3. Hire packets for ALL non-U.S. Citizen or U.S. Permanent Resident employees must be routed through the Office of International Services for approval, even if LSUHSC-NO is not providing immigration-related sponsorship for the potential faculty member.

3.6 PROCEDURES FOR APPOINTMENTS & PROMOTIONS

1. No position shall be created, and no person shall be appointed to any position on the academic staff except with the full knowledge of the LSU President, the Chancellor, VCAA, the dean of the school concerned, and the chair/head of the department or unit concerned. The LSU President, at their discretion and subject to revocation at any time, may authorize the Chancellor to make certain appointments.

2. Recommendations for the creation of academic positions and for appointments to those positions shall normally originate with the department concerned, but this shall not limit the right of appropriate and proper officers of the LSU System to suggest to the chair/head of the department/unit, through the appropriate campus officers, a need for changing the composition of the staff.

3. Recommendations from department/unit chairs or heads for the creation of, and appointment to, any academic position shall be forwarded to the appropriate dean or director, who shall transmit them, with recommendations, to the VCAA, who shall then transmit all such recommendations and comments for review and action by the Chancellor.

4. The LSU President, at their discretion and subject to revocation at any time, may delegate their review and action authority to an appropriate member of the academic staff of the LSU System or the Chancellor. All favorable recommendations shall be transmitted to the LSU President for their review and ratification.

5. See PM-23 for additional information regarding academic appointments & promotions.

3.7 POLICIES GOVERNING RECRUITMENT & APPOINTMENTS

These policies below, in addition to all University Regulations and this Handbook, govern all employee recruitment and appointments made at LSUHSC-NO:

- The Equal Opportunity Policies of the LSU System and LSUHSC-NO
- LSUHSC-NO EEO & Affirmative Action Plan
- The Americans with Disability Act of 1990
- Nepotism Policy
- School-specific policies

3.7.1 LSU System Equal Opportunity Policy

1. PM-55: Equal Opportunity Policy, affirms that the LSU System, and through it, LSUHSC-NO, is committed to providing equal opportunity for all qualified persons in admission to, participation in, or employment in the programs and activities which the University operates without regard to race, creed, color, marital status, sexual orientation, religion, sex, national origin, age, mental or physical disability, or veteran's status.

2. LSUHSC-NO complies with the provisions of Title IX, Title VI, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, Title VII, the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA) and applicable state law.

3.7.2 LSUHSC-NO Equal Employment Opportunity Policy

1. LSUHSC-NO reaffirms its commitment to equal employment opportunity in the recruitment, hiring, transfer, promotion, and other terms or conditions of employment without regard to race, color, ethnicity, national origin, sex (including pregnancy, sexual orientation, or gender identity/expression), age (over 40), spirituality, socio-economic status, disability, genetic information, family status, protected veteran's status, experiences, opinions, or any aspect of one's social identity or other non-merit factors which cannot lawfully be used as the basis for an employment decision. This policy is published in CM-10.

2. HRM is responsible for implementing the equal opportunity policy at LSUHSC-NO. Administrative heads of all divisions and departments who have responsibility for recruitment, appointment, and evaluation of staff should ensure that the plan is successfully implemented and should cooperate fully with the official with primary responsibility.

3.7.3 Nepotism Policy in Appointments

1. LSUHSC-NO is committed to ensuring that all employees are hired and evaluated on merit, and that no one receives preferential treatment based on a personal relationship. It is the policy of LSUHSC-NO to recruit, employ, admit, and retain the best-qualified individuals solely based on merit.

2. CM-12 defines nepotism and establishes campus guidelines to reduce both actual and perceived conflicts of interest arising from nepotism. To avoid even the appearance of nepotism and remain good stewards of public trust, all such decisions must adhere to the highest standards of transparency and integrity. As such, the CM-12 establishes guidelines that exceed the minimum requirements of the Louisiana Code of Ethics.

3. In general, current employees may not initiate or participate in any LSUHSC-NO decision (e.g. initial appointment, retention, promotion, academic program admission, salary change, leave of absence, tenure, etc.) involving a direct or potential benefit to a person who is an Immediate Family Member or with whom they have a Close Personal Relationship.

4. Immediate Family Members include an individual's children, spouses of children, siblings, spouses of siblings, parents, spouse, and parents of spouse.

5. Close personal relationships are those relationships including, but not limited to, those by blood, adoption, marriage, domestic partnership, sexual/romantic partners, or business arrangement, that are not otherwise included in the definition of immediate family and which may give rise to a perceived conflict of interest if not disclosed in the context of an employment or admissions-related decision. Examples may include but are not limited to an individual's grandparent, grandchild, first cousin, uncle, aunt, nephew, niece, stepparent or stepchild.

6. Refer to CM-12 and HRM for detailed guidance and instructions on compliance.

3.7.4 School Policies Governing Appointments

Each school in LSUHSC-NO may establish additional policies and procedures, consistent with all policies and guidelines above, governing recruitment, appointment, and orientation of faculty that align with the needs and demands of the academic or professional discipline. At a minimum, such school-specific policies and procedures should describe the following:

- Required documentation of qualifications of candidates used in the process
- Mechanisms used within the schools that result in the recommendation to appoint
- Differences in appointment processes for different levels of faculty appointment or for Department Heads
- Notification of the faculty member of the appointment

4.0 FACULTY DEVELOPMENT

LSUHSC-NO supports ongoing professional development and education of its entire academic community. Various types of leave available to faculty members for educational and professional development purposes are summarized below and detailed in the LSU Board Regulations and in PM-12.

4.1 SABBATICAL LEAVE

1. Full-time academic employees at the rank of Instructor (or equivalent) or above, who have completed six continuous years of service on the campus without having received leave with pay, may petition for sabbatical leave for study and research, the object of which is to enable them to increase their professional efficiency and usefulness to LSUHSC-NO. Sabbatical leave shall be approved for the purpose of seeking a higher degree only under unusual circumstances.

2. Adequate justification setting forth the plans for each sabbatical leave shall be stated, and a report of the accomplishments under each leave granted shall be made promptly upon return from sabbatical leave. Persons employed on a 12-month basis may be granted 12 months' leave with one-half pay or six months' leave with full pay. Persons employed on a nine-month basis may be granted nine months' leave with one-half pay or four and one-half months' leave with full pay.

3. The Chancellor shall, after receiving requests from the appropriate academic dean and VCAA, approve recommendations for sabbatical leave.

4. A member of the academic staff who is granted sabbatical leave shall be required to return to their LSUHSC-NO duties for at least a year before accepting employment elsewhere. A condition for granting of a sabbatical is the potential benefit LSUHSC-NO will receive as a result of the sabbatical. Under unusual circumstances, persons may accept employment during sabbatical leave if such employment is approved in advance by the Chancellor and the LSU President as supportive of the purposes of the leave.

4.2 LEAVE TO OBTAIN ADVANCED DEGREE

1. Members of the academic staff on full-time regular academic appointment who have completed three consecutive years of service at the rank of Instructor (or equivalent) or above may petition for a leave of absence with partial pay for not more than one year of study, which will culminate in the receipt of an advanced degree within five years. Such petition shall set forth the course of study to be pursued, the institution to be attended, an account of the petitioner's prospect for securing an advanced degree, and such other information as may be required. The petition shall be granted only after the Chancellor, VCAA, and the appropriate dean have determined that (i) the interests of LSUHSC-NO will be best served by granting such leave and
(ii) the petitioner will return to their LSUHSC-NO duties for at least two years before accepting employment elsewhere.

2. Leaves to obtain advanced degrees may be granted by the LSU Board upon recommendations through the LSU President from the Chancellor. The amount of pay to be allowed under such a grant shall be determined in each individual case, but in no event

shall it exceed one-half of the regular salary that would accrue to the petitioner during the period of leave. For the academic-year employee, the term “regular” refers to the salary of the academic year without presumption of summer-term appointment. If the petitioner, upon taking educational leave, does not return to LSUHSC-NO for the required two years, they shall pay back to LSUHSC-NO the amount paid to the petitioner for the leave. The period of service completed prior to granting of leave under this section shall not be counted in considering eligibility for sabbatical leave.

4.3 EDUCATIONAL PRIVILEGES & TUITION EXEMPTIONS

1. Full-time faculty and other academic employees who have been employed for at least one year in a permanent position *and* with prior approval from their department head or supervisor may register for job-related undergraduate or graduate courses at any LSU System campus for up to six hours per semester and receive full tuition exemption. Continued participation in this tuition exemption program will be based on making satisfactory progress as determined by the employee’s supervisor. Satisfactory progress shall generally be interpreted to include completion of the course with a passing grade.

2. Full-time faculty and academic employees during their *first* year of employment *and* with approval from their supervisors may register, at their own expense, for job-related coursework and be allowed to take the coursework during work time for no more than three clock hours per week. Eligible employees should coordinate their plans with their department chair or direct supervisor to ensure there is no conflict with teaching assignments or other assigned responsibilities in any given academic term.

3. Due to the short summer term, it is recommended that this exemption be limited to three hours during the summer. Additionally, this exemption should not be awarded to shorter more intense academic terms, such as intersessions.

4. The provisions of this policy do not apply to specialized, self-supported educational programs such as the Executive MBA Program. Employees should consult with the Chief Academic Officer of the campus on which they wish to take the course to determine eligibility.

5.0 FACULTY PERSONNEL FILES

5.1 LOCATION

A personnel file shall be maintained for each faculty member in HRM. A separate file may be maintained in the faculty member's school of employment, in either the Dean's office or Department office. The file kept in HRM will contain documentation pertaining to administrative matters; the file maintained in the respective school may contain documentation pertaining to academic and professional matters.

5.2 CONTENTS

The file maintained in HRM will contain all personnel actions, including the following documents:

- Personnel Form 2 (Per 2) - Louisiana State University and Agricultural & Mechanical College Personnel Appointment Form
- Personnel Form 3 (Per 3) - Louisiana State University and Agricultural & Mechanical College Personnel Status Change Form
- Personnel Action Form from LSU System Office
- Oath of Affirmation to Support the Constitution and Laws of the United States of America and of the State of Louisiana
- Person to Notify in Case of Emergency Form
- Biographical Data Card
- Application for Registration of Permanent Preexisting Disability
- State of Louisiana Withholding Exemption Certificate (L4)
- Federal W4
- Retirement System Enrollment Application
- Teacher's Retirement System of Louisiana Designation of Beneficiary Form
- Disability Insurance Enrollment Card
- Accident Insurance form G56401-A
- Insurance Update Forms
- Record of sabbatical leave
- End of Fiscal Year Leave Report
- Payroll deductions
- Official transcript from the institution granting the highest degree
- Intellectual Property Agreement, if not in letter of appointment
- Verification of employment for past or present faculty members. HRM uses an external service to provide automated employment and income verifications. Information can be found online at Employment & Income Verification.
- Pre-employment screenings
- Documents pertaining to performance evaluations

The file kept in the respective school may contain the following documents:

- Copy of Personnel Form 2 (Per 2) - Louisiana State University and Agricultural & Mechanical College Personnel Appointment Form
- Copy of Personnel Form 3 (Per 3) - Louisiana State University and

Agricultural & Mechanical College Personnel Status Change Form

- Faculty Income Plan Agreement with attachment
- Copy of the Person to Notify in Case of Emergency Form
- Pre-employment data
- Letter offering the position and letter of acceptance
- Professional licensure and/or certification
- Documents pertaining to performance evaluation

5.3 CONFIDENTIALITY AND ACCESS

1. Members of the faculty are considered confidential employees of LSUHSC-NO. Access to a faculty member's personnel file shall be regulated in accordance with Louisiana Revised Statute 44. A copy of this statute is available in HRM.

2. Employee information is carefully maintained and will be released only to authorized individuals or agencies. Authorized persons such as deans, department heads, or immediate supervisors will be permitted access to a faculty member's file.

3. A faculty member shall have access to their personnel file during normal business hours. A faculty member may request copies, at their own expense, of any material contained therein. They may not remove the file from the office in which it is housed.

4. A faculty member may enter a signed and dated statement into their personnel file that they feel clarifies, corrects, or refutes material contained therein. Such statements will be attached to the applicable documents in the file.

5.4 PERSONAL DATA CHANGES

Faculty members should report any changes in personal data, such as changes to name, contact information, or marital status, using the Personal Data Change Form. In addition, other changes such as education, work location, work telephone, and emergency contact should be submitted to HRM in writing so that their personal information is current in their record. HRM will update this information in the PeopleSoft employee/faculty directory.

5.5 APPEAL PROCEDURE - RECORDS

All documentation and records pertaining to hearings and informal and formal grievance proceedings conducted pursuant to this Handbook will be maintained in the office of the VCAA or HRM as appropriate to the matter.

5.6 RETENTION OF RECORDS

Once a faculty member is no longer employed by LSUHSC-NO, the file maintained by HRM will be kept on-site for one year and then archived. The archived record is retained based on the LSUHSC-NO Records Retention and Disposition Policy, LSU System, State of Louisiana, and other regulatory records retention policies and requirements.

6.0 FACULTY EVALUATIONS

6.1 INTRODUCTION

1. The mission of LSUHSC-NO involves the development of the highest levels of intellectual and professional endeavors in the areas of teaching, research, clinical care, and service. All faculty and other academic staff members are evaluated in all these areas in the context of LSUHSC- NO's mission. Although not all faculty and other academic staff members are expected to have equal levels of commitment or equal responsibilities in each of these areas, a high level of general competence is expected.

2. The faculty evaluation program is designed to help maintain and improve the effectiveness of each faculty member, as well as to provide direction for administrative decision-making in the areas of reappointment, promotion, merit salary increases, and tenure. Per PM-35, all faculty and other academic staff members should be reviewed at least annually by the Department Chair/Head or designee, where appropriate.

3. The formal evaluation must include a statement of the criteria against which the performance of each faculty or other academic staff member will be assessed based on their assigned job duties, responsibilities, and effort. These criteria must be communicated prior to the evaluation process by creating key performance goals agreed upon by the faculty or other academic staff member and supervisor in advance of the upcoming evaluation cycle. In addition, faculty and other academic staff will be evaluated on core institutional goals with clear communication of institutional expectations between faculty or other academic staff member and supervisor prior to the upcoming evaluation cycle.

4. The evaluation should be given to the faculty or other academic staff member and a copy placed in the faculty or other academic staff member's departmental file. In addition, copies of annual evaluations must be submitted to HRM and included at the appropriate time in the faculty or other academic staff member's promotion request file.

5. During the formal evaluation process, the Department Head or designee must meet with each departmental faculty or other academic staff member being evaluated. Prior to this meeting, the faculty or other academic staff member is encouraged to submit a self-evaluation to the Department head or designee. At this meeting, self-evaluation and accomplishments are reviewed with respect to prior agreed-upon goals and recommendations for continued or new activities are made. It is important for Department Heads to provide feedback to faculty and other academic staff so they can continually improve performance.

6.2 GENERAL PRINCIPLES REGARDING EVALUATION OF FACULTY

1. Each faculty member will maintain a current dossier containing their curriculum vitae and other documents providing evidence of scholarly activity, teaching effectiveness, and service. The dossier will play a role in the evaluation process.

2. Because faculty members of LSUHSC-NO perform a variety of functions, evaluation procedures are individualized. Each school has established review procedures for gathering

relevant data from multiple sources, including but not limited to student ratings, peer evaluations, administrator evaluations, and self-appraisals. The relative weight of sources used in evaluations may vary from school to school and assigned faculty effort. However, it is expected that a standardized approach to faculty evaluations across all schools will be developed and implemented in conjunction with HRM.

6.3 FACULTY ACTIVITIES TO BE EVALUATED

As part of primary expectations and the evaluation process, members of the faculty are expected to meet their professional and institutional commitments at LSUHSC-NO on a regular basis and throughout the academic year as it relates to teaching, research, scholarship, and service.

6.3.1 Teaching Activities

LSUHSC-NO recognizes that effective teaching is a primary responsibility of most faculty members. An evaluation of teaching includes, but is not limited to:

- Scope of teaching responsibility
- Quality of teaching and/or mentorship
- Command of subject areas
- Communication skills
- Awards and honors
- Student feedback/Peer evaluation
- Publication of pedagogical or education-based material
- Ability to plan, design, and implement academic courses
- Ability to evaluate students fairly and without prejudice
- Ability to mentor students, trainees, and faculty at all levels
- Proctoring Exams

6.3.2 Research & Scholarship Activities

LSUHSC-NO recognizes the importance of research and scholarship not only to the general advancement of the health sciences, but also to the faculty member performing the work. Evidence of scholarly effort includes, but is not limited to:

- Refereed and non-refereed publications (including contracted reports)
- Participation and leadership roles at local and national meetings, conventions, and symposia
- Presentations at local, national and international meetings, conventions, and symposia
- Application (including Renewal and Continuation) for and award of grants and contracts
- Lectures and symposia
- Honors and awards
- Patent applications/awards
- Service as an editor or editorial board member of a professional journal
- Service as a member of peer-review panels
- Referral and consultation roles

6.3.3 Service Activities

LSUHSC-NO expects its faculty members to be involved in service to their respective schools as well as to the institution, professional organizations, and community groups of interest to faculty. Such service includes, but is not limited to:

- Committees, meetings, and other formal or informal sessions at the departmental, school, and/or institutional levels
- Peer mentoring of faculty
- Leadership roles within the school and LSUHSC-NO
- Participation and leadership roles in professional organizations locally, regionally, and nationally
- Participation and leadership in community organizations
- Patient care
- Awards and honors
- Referral and consultation roles
- Program evaluation school/institution curricula/accreditation.
- Program evaluation of grants and contracts

6.3.4 Administrative Activities

LSUHSC-NO undertakes annual evaluation of academic administrators (Section or Division Head, Department Head, Assistant Dean, Associate Dean, Dean) to help maintain success and improve their effectiveness. Evidence may include, but is not limited to:

- Administrative management and development
- Executive judgment
- Delegation of authority and responsibility
- Provision of academic leadership
- Strategic Planning ability
- Encouragement of faculty development
- Communication of ideas
- Conflict resolution
- Availability and responsiveness to faculty
- Objectivity, honesty, and fairness
- Academic performance in the areas of teaching, research/scholarship, and service
- Provide leadership training to faculty
- Create successor plans for leadership

6.4 EVALUATION OF ACADEMIC ADMINISTRATORS

Academic administrators are evaluated, in combination or individually, as follows:

- Department Heads are evaluated annually by their Dean, with periodic input from faculty in their respective departments and students, as appropriate.
- Assistant Deans, Associate Deans, and Center Directors are evaluated annually by their Dean, with input from faculty, department heads, and other constituents, as appropriate.

- Deans are evaluated annually by the Chancellor, with input from Assistant and Associate Deans, faculty, department heads, and other constituents, as appropriate.
- Vice Chancellors are evaluated annually by the Chancellor, with input from Deans, faculty, and other constituents, as appropriate.
- The Chancellor is evaluated annually by the President of the LSU System, with input from Deans, Vice Chancellors, faculty, and other constituents, as appropriate.

7.0 PROMOTION

Promotion in academic rank is a means by which LSUHSC-NO encourages, recognizes, and rewards faculty members for excellence in the performance of their duties.

7.1 ELIGIBILITY FOR PROMOTION

Faculty members are promoted based on the fulfillment of the qualifications of the rank, as detailed in PM-23. Within the organization of each school, there may be more specific criteria for promotion.

7.2 SERVICE REQUIREMENTS FOR PROMOTION

1. An advancement in academic rank is dependent upon meeting the criteria for eligibility for promotion and normally the following lengths of full-time service in rank:

- Assistant Professor to Associate Professor: a minimum of *at least three years* in the rank of Assistant Professor
- Associate Professor to Professor: a minimum of *at least five years* of successful service in the rank of Associate Professor

2. Although a Department Head, Dean, or the faculty promotions committee may recognize superior performance by recommending early advancement in rank and LSUHSC-NO may concur (by offering early advancement in rank), individual faculty members ordinarily will not be considered for advancement before the minimum length of time in current rank has been completed.

7.3 INITIATION OF PROMOTION PROCESS

1. While the formal request for promotion of a faculty member is normally initiated by the Department Head (or Director), the faculty member may also begin the process by notifying the Department Head and submitting a request to the chair of the department's promotion and tenure committee. Each department must have a defined process for evaluating faculty members proposed for advancement. This process must involve the appropriate senior faculty of the department.

2. If a faculty member has an appointment in more than one department or school, the request for promotion is initiated by the head of the department in which the primary appointment is held. Promotions of Department Heads are initiated by the Dean. Requests for promotion can be withdrawn at any point in the process with the mutual consent of the candidate and respective Department Head.

7.4 PROMOTION REVIEW FILE

1. Each school of LSUHSC-NO, except for the School of Graduate Studies, whose members are appointed in the School of Medicine, has a faculty committee composed of senior tenured faculty members who are responsible for making recommendations to the Dean concerning the promotion of its faculty. The recommendation of the committee relative to promotion will be

based on documentation contained in the promotion review file.

2. This file shall contain a current curriculum vitae, annual faculty reviews, evidence of instructional effectiveness and accomplishment in scholarly and other professional activities, and community service. The file must include letters of recommendation and other evidence that the candidate has met the various criteria necessary for promotion as required by the school.

3. The committee also has the right to consult experts, either from within or outside LSUHSC-NO, for information that might aid them in their evaluation of the candidate for promotion. For promotion to Professor or Associate Professor and recommendation for tenure, letters of recommendation from outside the LSU System are required. The Department Head or the candidate may provide the names of potential sources of such outside recommendations. Promotion to Professor or Associate Professor of Clinical (*specialty*) letters from outside the institution are required.

4. The material in the promotion review file will normally only be available to the faculty member, appropriate administrative committees, councils, and those LSUHSC-NO administrators whose approval is officially necessary for implementation of the committee's recommendation. The faculty candidate and Department Head will participate in the preparation of the biographical form and supporting documentation that accompanies the LSU System: Promotion/Tenure Review Request Form, herein and after referred to as the Promotion/Tenure Form, and sign a statement indicating that the faculty has reviewed the file for accuracy and completeness. The completed file is then delivered to the departmental promotion and tenure committee chair to review and distribute to the committee for deliberation.

7.5 ENDORSEMENTS FOR PROMOTION

Applications for advancement in rank must be accompanied by a recommendation from the departmental promotions committee, Department Head(s), and the individual school's promotion and tenure committee. These recommendations, submitted to the Dean for final approval, should specifically address the degree to which the candidate meets the appropriate criteria for promotion. The vote of the departmental promotions committee must be indicated on the form for promotion. Candidates not recommended for promotion by the departmental promotions committee and/or the department head may request review by the school committee.

7.6 ACTION ON PROMOTION

1. Decisions regarding promotion represent a succession of judgments of whether the candidate meets the criteria set forth in this Handbook Section 6 and PM-23. Promotion requests are submitted by the Department Head to the Dean on the Promotion/Tenure Form. A Standardized Biographical Data attachment must also be submitted.

2. The requests are preliminarily reviewed by the Dean for completeness and accuracy and then forwarded to the school's faculty promotions committee, which shall return a recommendation to the Dean. Positive committee recommendations are submitted to other appropriate committees or Administrative Councils for their recommendations to the Dean. Negative action by the faculty promotions committee, with which the Dean concurs, is returned to the Department Head, who may appeal the decision based on school policy. The

Dean of the School may agree or disagree with the recommendations. The above decisions are indicated on the Promotion/Tenure Form and appropriate signatures are affixed.

3. When the school process has been completed, even if the Dean's recommendation is negative, the application for promotion is forwarded for consideration by the VCAA, the Chancellor, the LSU Vice President for Academic Affairs, and the LSU President for final action. The application for promotion will continue through each of these administrative review steps and final presentation to the LSU President regardless of the recommendation at each step.

4. Pursuant to this Handbook Section 10.10.3, judgments regarding academic quality or professional performance are not subject to appeal, although the propriety of the procedures employed in making such judgments are subject to the established appeals process.

5. Unless extraordinary circumstances prevail, when a recommendation for promotion is approved by the LSU President, the promotion in rank takes effect at the beginning of the next fiscal year.

7.7 MULTIPLE-CAMPUS APPOINTMENTS AND PROMOTIONS

1. PM-23 establishes that regarding recommendation for promotions of faculty with appointments on multiple campuses: a split recommendation for promotion of a tenured individual will result in the approving campus assuming the responsibility for the additional percentage of the faculty member's compensation.

2. If a faculty member has an appointment in more than one department or school, each department or school involved must participate in the promotion process, by conducting a similar process through the promotion and tenure committee of that school or department.

8.0 TENURE

LSUHSC-NO adheres to the basic policies for tenure established by the LSU System. Early in their appointment, the faculty member should become familiar with the substantive and procedural standards generally employed by LSUHSC-NO in decisions affecting tenure. Specific standards adopted by their department or school should be published and shared with the faculty member as part of the appointment and onboarding process.

8.1 TENURE POLICY

1. Faculty members and other members of the academic staff of comparable rank, including librarians, may be appointed for a specific term (term appointments) or indefinite (tenured appointments) depending on rank and experience. Appointment or tenure on one campus of the LSU System carries no implication of appointment or tenure on another campus. Academic employees are tenured only with respect to their academic ranks and not with respect to administrative titles or assignments.

2. Tenure is not a guarantee of lifetime employment, particularly in the face of institutional change or financial exigency. It does ensure that the faculty member will not be dismissed without adequate justification and without due process.

3. In addition to the qualifications of the candidate for tenure, other considerations that enter into individual decisions to confer tenure include particular need within a department, school, or LSUHSC-NO. Leave of absence without pay, upon appropriate administrative recommendation, may be credited toward tenure.

4. A faculty member on tenure track may switch to non-tenure track with the approval of the Department Head, Dean, and VCAA. Similarly, a faculty member on non-tenure track may switch to tenure track, upon formal review and recommendation by the school promotion and tenure committee in addition to approval of the Department Head, Dean, and VCAA.

8.2 TENURE POLICY AS IT RELATES TO RANK

Members of the faculty may be appointed for specified terms (term appointments) or for indeterminate terms (tenured appointments) as outlined in the University Regulations. Term appointments are used at the lower academic ranks and ordinarily for initial appointments at all levels. Under certain circumstances, tenure may be awarded to those holding lower ranks. Associate Professors and Professors and those holding equivalent ranks are tenured except as noted in LSU Board Regulations.

8.2.1 Professors and Associate Professors

1. Professors and Associate Professors are tenured and appointed for an indefinite period, except that the initial appointment and subsequent reappointments through not more than five years of total service to the LSU campus involved may be made for a stipulated term. Persons promoted to the rank of Professor or Associate Professor after less than five years of service on the campus may be continued to term appointment through no more than the fifth year.

2. Persons holding a professorial rank (Professor, Associate Professor, or Assistant Professor) while being paid by a grant or contract do not acquire tenure through the passage of time but may become tenured only by specific individual recommendation through appropriate channels and approval by the President.

8.2.2 Assistant Professors

1. Assistant Professors are appointed for terms no longer than three years. Upon reappointment after seven years of service in rank on a particular campus, Assistant Professors receive tenure. A thorough review will be made during the sixth year of service so that notice of termination may be given, if necessary, no later than the end of the sixth year of service. Individual campuses have the option of conducting the thorough review prior to the sixth year, provided that appropriate written notification is given to the faculty member.

2. LSUHSC-NO may, at its discretion, count prior service on the same campus toward the seven-year evaluation period for an Assistant Professor to achieve indeterminate tenure. The ultimate decision may be made by the LSU President to be applied in each individual case for which the respective campus recommends granting indeterminate tenure counting prior service favorably.

8.2.3 Associates or Instructors

Associates or Instructors shall be appointed for a specified term and shall not be considered for indeterminate tenure. However, Associates and Instructors hired for an initial term greater than two years may be terminated at the end of the first year if given notice during the first nine months of that year.

8.3 INITIATION OF TENURE PROCESS

1. While the formal request for tenure of a faculty member is normally initiated by the Department Head (or Director)**,** the faculty member may also initiate the process by written request to the chair of the department promotion and tenure committee. Each department must have a defined process for evaluating faculty members proposed for tenure that involves the appropriate senior faculty of the department.

2. If a faculty member has an appointment in more than one department or school, the request for tenure is initiated by the head of the department in which the primary appointment is held. In certain cases, requests for tenure accompany requests for promotion (i.e., promotion of Assistant Professor on tenure track to Associate Professor). Requests for tenure can be withdrawn at any point in the process with the mutual consent of the candidate and the respective Department Head.

8.4 TENURE REVIEW FILE

1. Each school, except for the School of Graduate Studies, whose members are appointed in the School of Medicine, has a faculty committee composed of senior tenured faculty members who are responsible for making recommendations to the Dean concerning the tenure of its faculty. The recommendation of the committee relative to tenure will be based

on documentation contained in the tenure review file as well as other relevant information deemed necessary for the committee to make an informed decision.

2. This file shall contain a current curriculum vitae, a letter from the Department Head (in support or not), evidence of instructional effectiveness and accomplishment in scholarly and other professional activities, and community service. The file must include letters of recommendation and other evidence that the candidate has met the various criteria necessary for tenure as required by the school.

3. The committee also may consult experts, either from within or outside LSUHSC-NO, for information that might aid in their evaluation of the candidate for tenure. The candidate may provide the names of potential sources of such outside recommendations.

4. The material in the tenure review file will only be available to the faculty member and those administrators whose approval is necessary for implementation of the committee's recommendation. The faculty candidate and Department Head should participate in the preparation of the biographical form and supporting documentation that accompanies the Promotion/Tenure Form and sign a statement indicating that the candidate has reviewed the file for accuracy and completeness. The file is then delivered to the departmental committee chair and subsequently distributed to the promotion and tenure committee for review.

8.5 ENDORSEMENTS FOR TENURE

Applications for tenure must be accompanied by a recommendation from the departmental promotion and tenure committee. The vote of the departmental committee and school promotions and tenure committee must be indicated on the Promotion/Tenure Form. These recommendations should specifically address the degree to which the candidate meets the criteria for tenure. Candidates who are not recommended for tenure by the departmental committee and/or the Department Head can request review by their school's committee.

8.6 ACTION ON TENURE

1. Decisions regarding tenure represent a succession of judgments of whether the candidate meets the criteria for tenure. Tenure requests are submitted by the Department Head to the Dean on the Promotion/Tenure Form. A Standardized Biographical Data attachment must also be submitted.

2. The requests are preliminarily reviewed by the Dean for completeness and accuracy and forwarded to the school's promotions and tenure committee, which shall return a recommendation to the Dean. Positive committee recommendations are submitted to other appropriate committees and/or Administrative Councils for their recommendations to the Dean. Negative action by the school's promotions and tenure committee, with which the Dean concurs, are returned to the Department Head, who may appeal based on school policy. The Dean may agree or disagree with recommendations. The above decisions are indicated on the Promotion/Tenure Form and appropriate signatures are affixed.

3. When the school process has been completed, the application for tenure is forwarded for consideration by the VCAA, the Chancellor, the LSU Provost, and the LSU President for final

action. The application for tenure will continue through each of these administrative review steps and final presentation to the LSU President regardless of the recommendation at each step.

4. Pursuant to this Handbook Section 10.10.3, judgments regarding academic quality or professional performance, including the granting or denial of tenure, are not subject to appeal, although the propriety of the procedures employed in making such judgments are subject to the established appeals process.

5. Unless extraordinary circumstances prevail, when an application for tenure is approved by the LSU President, tenure takes effect at the beginning of the next fiscal year.

8.7 MULTIPLE-CAMPUS APPOINTMENTS AND TENURE

1. PM-23 establishes that regarding recommendation for tenure of faculty with appointments on multiple campuses: a split recommendation for tenure will result in the approving campus assuming full financial responsibility for faculty member's compensation.

2. If a faculty member has an appointment in more than one department or school, each department or school involved must participate in the tenure process (i.e., review by the appropriate faculty committees and Administrative Councils of all schools/departments involved).

9.0 SEPARATION FROM EMLPOYMENT

9.1 RESIGNATION

A faculty member may terminate their employment by giving written notice to their Department Head or appropriate administrative officer at least 90 calendar days before the effective date of resignation. The requirement of 90 days' notice may be waived by mutual agreement between LSUHSC-NO and the faculty member.

9.2 RETIREMENT

Click here for information on retirement from HRM.

9.3 TERMINATION FOR CAUSE

9.3.1 Criteria for Termination for Cause

1. Any appointment, whether term or tenure, may be terminated for cause. Cause for termination may include, but is not limited to, incompetence, failure to perform assigned duties, willful breach of LSUHSC-NO or University Regulations, serious breach of professional ethics or standards, dishonesty, moral turpitude, or conviction of a felony. Actions that constitute exercise of academic freedom or rights guaranteed by state or federal law shall not be cause for termination. Prior to termination for cause, a faculty member shall be entitled to due process as set forth in the University Regulations and in this Handbook Section 9.3.2.

2. Any faculty member charged with a felony or any other illegal conduct that is seriously prejudicial to LSUHSC-NO or the LSU System may be placed on leave with pay by the Chancellor or his designee pending the resolution of the criminal charges.

9.3.2 Due Process Rights

1. Recommendation for termination of a faculty member shall be made by the Department Head in the form of a Request for Termination. The Request for Termination shall be in writing and shall include a written statement of charges registered against the faculty member, a list of all known documentary evidence, a list of witnesses, and a brief statement of the nature of testimony expected to be given by each witness. The Request for Termination shall be delivered in person to the Dean.

2. If the Dean finds that the charges registered against the faculty member appear to be substantive, they shall give notice to the faculty member in writing of the intent to initiate proceedings that might result in termination for cause. The notice shall include a copy of the Request for Termination and shall be delivered to the faculty member, with a copy sent to the Chancellor.

3. The faculty member shall have an opportunity to prepare and present a defense to the charges set forth in the notice at a hearing before an impartial *ad hoc* committee, which shall be advisory to the Dean. The faculty member shall have five working days after receipt of the notice to notify the Dean in writing whether they will challenge the Request for

Termination and desire that an *ad hoc* committee be formed.

4. If the faculty member contends that the proposed termination is based, in whole or in part, on age, disability (mental and physical), equal pay, national or ethnic origin, pregnancy, race, religion, sex, sexual harassment, marital status, or veteran status, the faculty member shall inform the Dean of that contention. The Dean shall then invoke the proceedings set out in the Handbook Section 10.6.4.

5. The hearing for termination for cause shall not proceed until an investigation has been conducted pursuant to this policy.

6. The *ad hoc* committee shall consist of five full-time, tenured faculty members who shall be selected in the following manner:

a) The faculty member shall notify the Dean and the Department Head of the faculty member's recommendations for two appointees to the *ad hoc* committee within five working days after their receipt of the notice.
b) The Dean shall then notify the Department Head of the faculty member's choice of committee members.
c) The Department Head shall have five working days from receipt of such notice to notify the Dean of their two recommended appointees to the committee.
d) The four sitting committee members shall then select a fifth member within five working days of receipt of notice of the Department Head's nominees to the committee, thereby the committee is formed.
e) Once the committee is formed, the Dean shall forward to the committee the notice and shall notify the committee members that they must select a committee chair and set a hearing date to be held within 40 working days of formation of the committee.
f) The committee shall establish a hearing date. The faculty member and Department Head shall be given at least 15 working days' notice of the date, time, and place of the hearing. The committee chair shall send the notice and shall send a copy of the notice to the Dean.
g) Each party shall provide the committee chair and the other party a witness list, a brief summary of the testimony expected to be given by each witness, and a copy of all documents to be introduced at the hearing at least 10 working days prior to the hearing.

7. The hearing shall be conducted as follows:

a) The chair of the committee shall conduct the hearing.
b) Each party shall have the right to appear, present a reasonable number of witnesses, present documentary evidence, and cross-examine witnesses. The parties may be excluded if the committee meets in executive session.
c) The faculty member may be accompanied by an attorney as a nonparticipating advisor. Should the faculty member elect to have an attorney present, the Department Head may also be accompanied by an attorney. The attorneys for the parties may confer and advise their clients upon adjournment of the proceedings at reasonable intervals to be determined by the chair, but may not question witnesses, introduce evidence, make objections, or present arguments during the hearing. However, the right to have an attorney present can be denied, discontinued, altered, or modified if the committee finds that such is necessary to ensure its ability to properly conduct the hearing.
d) Testimony is under oath or affirmation before a certified court reporter. Rules of

evidence and procedure are not applied strictly, but the chair shall exclude irrelevant or unduly repetitious testimony.

e) The chair shall rule on all matters related to the conduct of the hearing and may be assisted by LSUHSC-NO's Chief Counsel.
f) At the request of the faculty member, the chair shall invite an AAUP representative to be present during the hearing as a non-participating observer.
g) A recording of the hearing shall be transcribed, and the faculty member may receive, upon a written request and at their cost, a copy of the transcript.

8. Following the hearing and after reviewing all evidence, the committee shall render a written report to the Dean within 20 working days. The report shall include:

a) the committee's finding as to whether the faculty member should be terminated for cause or otherwise have restrictive measures imposed,
b) the reasons for its finding;
c) a summary of the testimony presented; and
d) any dissenting opinions.

9. In any hearing in which the faculty member has alleged discrimination, the report shall include a description of the evidence presented regarding this allegation and the conclusions of the committee regarding the allegations of discrimination.

10. The Dean shall review the committee's report and may accept, reject, or modify the committee's finding. The Dean shall render a decision within 10 working days from receipt of the committee's report. The decision shall be in writing and sent by email to the faculty member; a copy shall be sent to the Department Head and Chancellor.

11. If the Dean's final decision is to terminate or impose restrictive measures and the faculty member is dissatisfied with the decision reached by the Dean, the faculty member may appeal to the Chancellor, with such appeal limited to alleged violations of procedural due process only. The faculty member shall deliver Notice of Appeal of Termination to the Chancellor within five working days after receipt of the Dean's decision. The Notice of Appeal shall specify the alleged procedural defects upon which the appeal is based.

12. The Chancellor may grant or deny the appeal in whole or in part. If the Chancellor grants the appeal, they shall review only the record from the hearing and reports rendered. The Chancellor shall not consider any new evidence and shall be limited only to a review as to whether the faculty member received procedural due process. The Chancellor shall then accept, reject, or modify the Dean's decision, render their decision within 15 working days of receipt of the faculty member's appeal, and transmit their decision in writing by email and certified mail to the faculty member. Copies of the decision shall also be provided to the Department Head and Dean. The Chancellor's decision shall be final.

13. A faculty member who, at any stage of the process, fails to file a timely request for further action by the deadline indicates acceptance of the determination made at the previous stage.

14. Any time limit set forth in this procedure may be extended by mutual written agreement of the parties and, when applicable, the consent of the chair of the *ad hoc* committee.

9.4 RETRENCHMENT & FINANCIAL EXIGENCY

9.4.1 Criteria

1. Financial exigency shall exist whenever the financial resources of the university are not sufficient to support the existing programs and personnel of the university without substantial impairment of the ability of the university to maintain the quality of it programs and services.

2. Per the University Regulations, LSUHSC-NO may terminate or reduce the contractual rights of faculty members when the Chancellor, upon authority of the LSU President and LSU Board, determines that it is necessary (1) to alleviate a financial exigency within LSUHSC-NO or subunit thereof, or (2) to reorganize or eliminate an academic program.

9.4.2 Retrenchment Plan

1. In the event of financial exigency or the need to reorganize or eliminate an academic program, the Chancellor, after consulting with the officers of the Faculty Senate, will appoint an *ad hoc* committee of faculty and administrators to institute an orderly and consistent plan of retrenchment. For the purposes of this retrenchment plan, seniority shall mean total years of service at LSUHSC-NO as determined by the retirement system. Dismissal of faculty will only be initiated after all alternative means of alleviating the financial crisis have been exhausted or deemed inadequate. This retrenchment plan may be administered on a school, departmental or program basis.

2. Termination of faculty members to alleviate a financial exigency shall be in the following order:

a) Faculty on term appointments, starting with the most recently appointed and proceeding in reverse order of seniority.
b) Tenured faculty on continuous appointments, starting with the most recently appointed and proceeding in reverse order of seniority.

9.4.3 Exceptions to Retrenchment Plan

Department Heads or other administrators who wish to make specific exceptions to the Retrenchment Plan to avoid serious distortion of an academic program can appeal to the Dean, who will act upon a recommendation made by an *ad hoc* committee of faculty members appointed by the Dean.

9.4.4 Notice

1. Faculty and other academic employees under contract who are furloughed, laid off, or terminated before the end of their contract terms for reasons of financial exigency shall, whenever possible, be notified in writing by LSUHSC-NO at least 90 days in advance of the date of the furlough, layoff, or termination.

2. This written notice shall specify the conditions requiring furlough, layoff, or termination, a general description of procedures followed in making the decision, and a statement of the faculty member's rights to respond pursuant to the Handbook Section 10.10. Written notice

shall be sent to the faculty member by email and certified U.S. mail, return receipt requested.

9.4.5 Alternative Positions

1. Faculty members whose employment time is terminated or reduced due to retrenchment will be eligible to transfer to any vacant LSUHSC-NO faculty position for which they are qualified, subject to the terms and conditions of employment attendant to that position. A faculty member's qualification for a vacant position shall be determined by the Dean of the appropriate school, after consultation with the Department Head involved and HRM, and approved by the Chancellor.

2. A faculty member who exercises the rights accorded under this section and who is determined by the Dean of the school to be qualified for a vacant position will have a preemptive right to the position consistent with the retrenchment plan.

9.4.6 Review

If a faculty member has been notified of termination or reduction of time, they may appeal only the procedural application of the plan to the VCAA.

9.4.7 Recall

If vacancies become available, faculty terminated under the retrenchment plan will be recalled in the reverse order of dismissal. Faculty will be eligible for recall up to one year after dismissal.
Exceptions to this order can be appealed by the Department Head to the Dean, who will act upon a recommendation made by an *ad hoc* committee of faculty members appointed by the Dean.

10.0 FACULTY RIGHTS, DUTIES, AND RESPONSIBILITIES

10.1 ACADEMIC FREEDOM

1. LSUHSC-NO is committed to the principle of academic freedom. This principle acknowledges the right of a teacher to explore fully within the field of assignment and to give in the classroom and elsewhere such exposition of the subject as the teacher believes to represent the truth. This principle also includes the right of a member of the academic staff of LSUHSC-NO to exercise in speaking, writing, and action outside the institution the ordinary rights of a citizen, but it does not decrease the responsibility the member of the academic staff bears to LSUHSC-NO, the state, and the nation. When a member of the academic staff is not officially designated to represent LSUHSC-NO, the staff member must indicate clearly that they are speaking as an individual citizen.

2. Among the many implicit responsibilities that must be assumed by those enjoying the privileges of academic freedom shall be that of refraining from insisting upon the adoption by students or others of any particular point of view as authoritative in controversial issues.

3. Allegations that the academic freedom or other rights of a faculty member have been violated are to be resolved according to the procedures outlined in Handbook Section 10.10.

10.2 STATEMENT ON PROFESSIONAL ETHICS

1. The "Statement on Professional Ethics" promulgated by the American Association of University Professors (AAUP) is a reminder of the variety of obligations assumed by all members of the academic profession. This AAUP statement, which has been adopted as the statement of ethics for LSUHSC-NO, is as follows:

- Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
- As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic

or scholarly assistance from them. They protect their academic freedom.

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

2. LSUHSC-NO faculty members are also expected to adhere to all professional codes of ethics particular to their individual disciplines.

10.3 VIOLATION OF THE STATEMENT ON PROFESSIONAL ETHICS

If a faculty member is accused of violating the Statement on Professional Ethics, the following process will occur:

1. The faculty member will receive a written statement of the charge(s), including a list of the names of all witnesses, delivered via email. In the event there is more than one charge, each charge shall be listed separately.

2. The faculty member charged will have the opportunity to obtain copies of all documentary and other available evidence.

3. The faculty member, if they desire, will have an opportunity to prepare and present a defense of the charges in a hearing before an impartial *ad hoc* advisory committee appointed by the Dean of their school. The intent to present a defense must be submitted to the Dean in writing within ten (10) working days of receipt of the written statement of charges.

4. The *ad hoc* advisory committee will consist of three (3) tenured faculty members and shall be advisory to the Dean. This committee shall establish a procedure for the investigation. After hearing all evidence, the committee shall make a determination to the Dean as to whether the charges are substantiated by the evidence. Legal counsel is not permitted at the hearing. Committee findings and all documentation shall be forwarded to the Dean. In the event that the faculty member is found to have violated the Statement, the committee will also forward to the Dean recommendations for sanctions.

5. If the Dean upon review of the matter and taking into account the *ad hoc* committee's recommendation(s) finds that the faculty member has violated the Statement, the Dean shall inform the faculty member of such a decision and any sanctions to be imposed via email.

6. In such case, the faculty member will also be informed that they may initiate an appeal based on the procedures for faculty appeals detailed in CM-24 and found in this Handbook Section 10.10. The faculty member, if terminated, may initiate an appeal of termination for cause (Handbook Section 9.3.2) only on the grounds of violation of due process.

7. The faculty member may accept the decision of the Dean or may elect to appeal. The faculty member's decision to appeal must be submitted in writing within ten (10) working days after receipt of the Dean's decision on the matter.

8. Should the faculty member elect to appeal, the appeal will follow the process of the Faculty Appeals Policy detailed in CM-24 and this Handbook Section 10.10.

10.4 LSUHSC-NO CODE OF CONDUCT

The Code of Conduct establishes standards of responsible ethical behavior expected of all LSUHSC-NO faculty, staff, students, and affiliates when executing their duties and roles. The Code of Conduct complements but does not replace any discipline-specific professional codes of conduct. Adherence to the LSUHSC-NO Code of Conduct is a condition of employment and/or affiliation with LSUHSC-NO. Faculty members are required annually to certify that they have read and will adhere to the Code of Conduct. Failure to adhere to the Code can result in disciplinary action up to and including termination of employment, enrollment, and/or affiliation.

10.5 DUTIES AND RESPONSIBILIES OF THE ACADEMIC STAFF

1. Each member of the academic staff is expected to be devoted to the accomplishment of the purposes for which LSUHSC-NO exists: instruction, research, and public service. Those members of the academic staff who comprise the faculty of LSUHSC-NO are charged to determine the educational policy of the institution through deliberative action in their respective units and divisions.

2. Per the University Regulations, the faculty or Faculty Council (the terms "faculty" and "Faculty Council" are used interchangeably in this section) shall establish curricula, fix standards of instruction, determine requirements for degrees, and generally determine educational policy, subject to the authority of the LSU Board. Except as otherwise provided, each faculty shall establish its own educational policies. Faculty shall, within the framework

of the educational policy of the System, have legislative power over all matters pertaining to its own meetings and may delegate its own authority to an elected Senate and/or to standing committees, whose authority shall be limited to matters which are proper to the faculty and which have been specifically delegated by the faculty. Faculty shall make recommendations for the granting of degrees through respective colleges or schools not within a college.

10.5.1 Responsibilities of the Faculty

It is the basic principle that every member of the faculty of whatever rank shall at all times be held responsible for competent and effective performance of appropriate duties. No principle of tenure shall be permitted to protect any person from removal from a position after full and careful investigation, according to procedures of due process, has revealed that the person has not met and does not give promise of meeting the responsibilities of the position.

10.5.2 Principal Occupation

Full-time faculty members are expected to foster the mission of LSUHSC-NO as their principal occupation. Faculty members owe their professional activities to LSUHSC-NO in proportion to their appointment obligation. Employment activities outside LSUHSC-NO are governed by PM- 11.

10.5.3 Course Offerings and Content

1. Course offerings and curricula are established by the faculties of the schools of LSUHSC-NO. Individual faculty members are responsible for following the curriculum and providing course content that will appropriately meet the needs of the students.

2. Planning and presentation of course material is the responsibility of the course director. Course directors are responsible for ordering textbooks and other course materials. Course plans and evaluation procedures should be presented to students in writing at the outset of each course. Faculty members should teach material that is appropriate to the assigned level of each course.

3. Faculty members are responsible for evaluating students and assigning grades. Faculty members shall report the results of student evaluations within a reasonable time after the students' work is submitted for assessment. Course directors shall provide the Registrar and other appropriate individuals with grades and evaluations of students based on their academic and professional performance.

4. Each faculty member is responsible for meeting deadlines established by course directors, Department Heads, the Registrar, the LSUHSC-NO Bookstores, and other appropriate administrative offices.

10.5.4 Class-Related Responsibilities

Faculty members are responsible for conducting instructional activities as scheduled. If a faculty member is unable to meet a regularly scheduled class, appropriate alternate instruction must be arranged and approved by the course director or Department Head. Faculty members

shall be reasonably accessible to students and shall inform students of their availability for consultation about course work.

10.5.5 Student Advising

1. Assisting students to develop their personal and professional potential is a fundamental objective of LSUHSC-NO. The University emphasizes the role of its faculty in advising and mentoring students. Appropriate advising must be founded on a sustained concern for the academic growth of students and their personal well-being. Responsibilities for advising students may be allocated to individual faculty members by the school administration.

2. The faculty member's role as an advisor includes advising the student on academic programs and career goals, recognizing a student's need for professional help in solving personal or academic problems, and directing the student to the appropriate resource.

10.5.6 Service

1. Each faculty member shares responsibility for the administration and governance of LSUHSC-NO and is expected to participate regularly in faculty meetings and in such committee work as they assume. Each faculty member should be available on a regular basis to assist the Department Head as needed in departmental affairs and consult with colleagues. As members of the larger LSUHSC-NO community, faculty members are expected to make every effort to work cooperatively with members of all departments and schools.

2. Faculty members are encouraged to participate in community service related to their particular disciplines. When a faculty member engages in community service related to their discipline, their role as a representative of LSUHSC-NO should be considered carefully and made clear to others in their service group. Service activities in the general community, unrelated to a faculty member's discipline, include participation in civic programs and social endeavors. These service activities are generally encouraged by the LSUHSC-NO administration.

10.6 LEGAL AND ETHICAL CONSIDERATIONS AND CONSTRAINTS

10.6.1 Use of Copyrighted Material

Faculty are responsible for knowing and observing laws on the use of copyrighted material.

10.6.2 Sex- and Gender-Based Harassment and Discrimination, and Sexual Misconduct

1. As described in PM-73, LSUHSC-NO is committed to providing a professional work environment that maintains equality, dignity, and respect for all members of its community. Any sex- or gender-based harassment and discrimination, or sexual misconduct, whether verbal, physical, or environmental, is unacceptable and will not be tolerated.

2. Sex- and gender-based harassment, discrimination, and sexual misconduct is illegal under (1) Title IX of the Education Amendments of 1972, (2) Act 472 of the 2021 Regular Legislative Session of the Louisiana Legislature, and (3) the Louisiana Board of Regents Uniform Policy on Power-Based Violence.

3. Sexual misconduct includes, but is not limited to, sexual abuse, violence of a sexual nature, sexual harassment, sexual assault, sexual exploitation, as well as dating violence, domestic violence and stalking when on the basis of sex or gender, as well as crimes of a sexual nature as defined in Title 14 of the Louisiana Revised Statutes.

4. Any member of the LSUHSC-NO community who has a workplace sexual harassment complaint against a supervisor, co-worker, visitor, faculty member, or other person has the right and obligation to bring the problem to the attention of LSUHSC-NO. Any employee who believes they have been sexually harassed is encouraged to report the incident to the Title IX Coordinator. Confidential resources are available to provide confidential services to individuals regarding reporting, supportive measures, rights to report to law enforcement, and other information under this policy; confidential resources at LSUHSC-NO are located in the Campus Assistance Program (CAP) Office and the Ombuds Office.

5. Any employee who witnesses or receives a complaint is obligated to report the incident to the Title IX Coordinator. An employee who fails to promptly make the report without good cause or, with the intent to harm or deceive, knowingly makes a report that is false, shall be terminated in accordance with LSUHSC-NO's disciplinary procedures. There will be no discrimination or retaliation against any individual who makes a good faith complaint, even if the investigation produces insufficient evidence to support the complaint. There will be no discrimination or retaliation against any other individual who participates in the investigation of a complaint.

6. The Title IX Office is responsible for responding to complaints of sexual misconduct involving all members of the LSUHSC-NO community, including faculty, staff, students, volunteers, organizations, and any other affiliates who participate in activities associated with LSUHSC-NO. Actions taken to investigate and resolve complaints will be conducted confidentially to the extent practicable and appropriate in order to protect the privacy of persons involved.

7. LSUHSC-NO will make every reasonable effort to ensure that all members of the LSUHSC- NO community are familiar with this policy. All faculty members are required to complete annual training on sexual harassment.

8. Questions or concerns regarding this policy should be directed to the Title IX Coordinator.

10.6.3 Anti-Discrimination Policy

As detailed in PM-55 and CM-10, LSUHSC-NO does not tolerate discrimination of any kind. Any individual who perceives such discrimination should report specific occurrences according to the procedure outlined in Handbook Section 10.6.4.

10.6.4 Discrimination Investigation and Appeals Procedure

1. A faculty member who feels that they have been the subject of discrimination should

inform their Department Head, Dean, or HRM. Students and residents should address questions of discrimination and/or harassment to their academic advisor, Department Head, the Dean of Students, or HRM. Research associates should address complaints to their supervisors, Department Head, Dean, or HRM.

2. The recipient of a faculty or student complaint filed pursuant to this section must notify HRM and seek that office's assistance in connection with an investigation of the complaint. In all complaints involving a faculty member, the Chancellor or the Chancellor's designee shall select a member from the Faculty Senate to participate in and assist HRM in conducting its investigation. This Faculty Senate member shall not be from the faculty member's department or a witness to or otherwise involved in the complaint. The recipient of a faculty or student complaint will have one peremptory challenge of the faculty member selected from the Faculty Senate.

3. An investigation will be conducted by HRM and the designated faculty representative with care to safeguard the confidentiality of all parties involved; however, in order to conduct an adequate investigation of the complaint, it may be necessary to discuss the complaint with witnesses and the accused. A complaint may be resolved at any point in this process at the recommendation of HRM with the consent of the parties and approval of the Chancellor.

4. The following process will occur:

a) A report of the investigation shall be submitted to the Chancellor and shall include, when possible, conclusions concerning the allegations. The report should also include recommendations for a resolution of the complaint. The complainant and accused will be provided a summary of the conclusions by HRM.

b) If the complaint is found to be valid, the accused may be directed to appropriate counseling, receive discipline, or be recommended for termination, depending on the degree or seriousness of the offense. In the event a faculty member, involved as either the accused or the victim, disagrees with the conclusions recommended as a result of the investigation, they may invoke the procedures set out in Handbook Section 10.10. If either party invokes this appeals process, the Chancellor or the Chancellor's designee will forward a copy of HRM's report to the Standing Appeal Committee. If allegations of discrimination are first raised as a part of a faculty appeal, that is, prior to an investigation of the complaint by HRM, the Chancellor shall refer the complaint to HRM for investigation in accordance with this section. No appeal shall proceed until an investigation has been conducted and a report of the investigation has been submitted to the Chancellor.

c) If allegations of discrimination are first received as part of a Termination for Cause proceeding, that is, prior to an investigation of the complaint by HRM, the Chancellor shall refer the complaint to HRM for investigation in accordance with this section. The hearing for Termination for Cause shall not proceed until an investigation has been conducted and a report of the investigation has been submitted to the Chancellor. The Chancellor shall then forward a copy of HRM's report to the *ad hoc* committee. The formal complaint may be oral or written, with sufficient specificity to allow efficient investigation.

5. A person who complains in good faith will suffer no reprimand or retaliation. The person

accused of discrimination will be promptly notified and will be given an opportunity to respond.

10.7 SCIENTIFIC AND RESEARCH INTEGRITY: REPORTING AND MANAGING ALLEGATIONS OF MISCONDUCT

10.7.1 Overview

1. In the conduct of scientific research, LSUHSC-NO expects that all its faculty, staff, and students adhere to the highest standards of ethics and integrity in the conduct of academic matters, embody the institutional code of conduct, and abide by their applicable handbooks, professional codes, standards, and practices. Scientific or research behavior that violates any of these standards may lead to allegations of scientific misconduct. Confirmed findings of scientific misconduct, following the due process procedures outlined in this section, may lead to corrective or disciplinary action up to and including termination. The policies and procedures defined in this section 10.7 shall apply to the handling of any allegations of scientific or research misconduct alleged to have been made by faculty, staff, and students of LSUHSC-NO, and this policy shall be incorporated into the student handbook of each school.

2. LSUHSC-NO, along with all its faculty, staff, and students, also must comply with federal obligations regarding research misconduct, a narrower subset of scientific misconduct that is defined in the Code of Federal Regulations (CFR) that calls into question the scientific integrity of a body of work. The Office of Research Integrity (ORI) is the federal entity responsible for overseeing and managing compliance with federal obligations in the conduct of biomedical research.

3. According to 42 C.F.R. Part 93.103, research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

(a) Fabrication is making up data or results and recording or reporting them.
(b) Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
(c) Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
(d) Research misconduct does not include honest error or differences of opinion.

4. Under both 42 C.F.R. Part 93.104 and LSUHSC-NO's ethical standards, policies, and procedures, a finding of research misconduct requires that:

(a) There be a significant departure from accepted practices of the relevant research community; and
(b) The misconduct be committed intentionally, knowingly, or recklessly; and
(c) The allegation be proven by a preponderance of the evidence.

5. LSUHSC-NO hereby defines scientific misconduct to incorporate not only the federal definition of research misconduct but also other actions that may call into question the integrity of an academic or research activity, including but not limited to:

(a) Insufficient maintenance of scientific records and documents, including copies of primary data; or

(b) Inclusion of retracted or suspect data within grant applications; or
(c) Untimely correction of the published research record; or
(d) Insufficient training, oversight, or supervision of graduate students and fellows; or
(e) Other behavior that may be deemed to violate the integrity of the research enterprise.

6. This section defines the LSUHSC-NO administrative process for reviewing allegations of scientific or research misconduct; ensuring due process for all parties while protecting the health and safety of the public; ensuring proper use of federal, state, private, and institutional funds; and promoting the integrity of the academic scientific research enterprise.

7. Throughout the conduct of any inquiry or investigation into allegations of scientific or research misconduct, LSUHSC-NO will protect the rights and reputations of all parties including the individual(s) who in good faith report the alleged misconduct (the "complainant"), the individual(s) about whose actions the allegations are made (the "respondent"), and the members of any inquiry or investigation committees.

10.7.2 Initial Inquiry into Allegations of Academic or Research Misconduct

1. Any LSUHSC-NO faculty, staff, or student who becomes aware of alleged scientific or research misconduct shall make a good-faith written report of those allegations to the Dean of the school, if applicable, and/or directly to VCAA.

2. Within two calendar days of receipt of the initial written report of allegations, the Dean will refer the matter to the VCAA.

3. The VCAA will notify the respondent in writing within two calendar days of their receipt of the written report of alleged misconduct and will provide the respondent with this section 10.7 of applicable LSUHSC-NO policies and procedures for investigations of scientific or research misconduct.

4. In the event the allegations are judged, by joint agreement of the Dean and the VCAA, to warrant an inquiry, then within seven calendar days of initial receipt, the matter will be referred to a standing Scientific Integrity Inquiry Committee and the respondent will be notified of this decision in writing at the time of referral.

5. LSUHSC-NO will, on or before the date that the respondent is notified or the inquiry begins, whichever is earlier, promptly take reasonable and practical steps to obtain custody of all research records and evidence needed to conduct the inquiry, inventory the records and evidence, and securely sequester those materials, with accommodations provided for records or evidence involving shared instrumentation.

6. The Academic and Research Integrity Committee will consist of six senior tenured LSUHSC-NO faculty members experienced in research, one from each school selected by their respective deans, and other senior administrative staff as may be appointed by the VCAA.

7. The sole purpose of the Academic and Research Integrity Committee will be to

conduct and complete an initial review of the evidence, in no more than 30 calendar days from initial referral of the report of alleged misconduct, make a written Inquiry Report on its findings, and recommend to the VCAA if the allegations warrant an investigation.

8. Upon receipt of the Inquiry Report, the VCAA will decide whether (a) to terminate any further review of the alleged scientific or research misconduct or (b) to proceed with a formal investigation of the matter.

9. If the VCAA determines, based upon the Inquiry Report, that there is insufficient basis for pursuing the allegations of scientific or research misconduct, the matter will be considered closed and the respondent will be notified in writing. The findings and recommendation from the Academic and Research Integrity Committee will be documented, along with the VCAA's reasons to decline a formal investigation, and maintained in the case file.

10. If the VCAA determines, based upon the Inquiry Report, that a more thorough investigation into the alleged misconduct is warranted, the respondent first will be notified in writing in advance of the start of any investigation and will be provided with a copy of both the Inquiry Report and the applicable LSUHSC-NO policies and procedures on investigations of scientific or research misconduct. The respondent will have 15 calendar days from transmittal to provide written comments on the Inquiry Report to the VCAA. The VCAA will complete their determination on the Inquiry Report within 15 calendar days of receipt of the respondent's comments and will finalize the entire LSUHSC-NO scientific or research misconduct inquiry process within no more than 60 calendar days of initiation, unless documented circumstances warrant a longer inquiry period.

11. If the VCAA determines, based upon the Inquiry Report, that a more thorough investigation into the alleged misconduct should be undertaken *and* if the alleged research misconduct has been conducted with the use of federal Public Health Service (PHS) funds, then within 30 calendar days of that determination, the VCAA will notify ORI, providing written findings, a copy of the inquiry report, and other relevant materials as may be requested or required by ORI. The VCAA also will notify PHS funding agencies as may be necessary at the conclusion of the inquiry.

12. If necessary to protect public health and safety, conserve public funds. and ensure that the purposes of the federal funding award are being carried out, LSUHSC-NO may, pursuant to 42 C.F.R. Part 93.318, at any time during an inquiry prior to the initiation of the investigation, take appropriate interim administrative actions and notify ORI and the PHS funding agency, if any of the following conditions exist:
    (a) Health or safety of the public is at risk.
    (b) HHS resources or interests are threatened.
    (c) Research activities should be suspended.
    (d) There is reasonable indication of possible violations of civil or criminal law.
    (e) Federal action is required to protect the interests of those involved in the misconduct proceedings, including from premature public disclosure; or
    (f) The university, scientific community and/or public should be informed.

13. Within 30 calendar days of determining that an investigation into allegations of scientific or research misconduct is warranted, the VCAA will appoint an *ad hoc* Academic and

Research Integrity Committee comprised of at least six impartial tenured faculty members along with other objective parties as may be selected by the VCAA and which may be comprised entirely or partially of the same members as the Academic and Research Integrity Committee.

14. All materials gathered by the Academic and Research Integrity Committee, as well as its findings and recommendations, will be made available by the VCAA to the Academic and Research Integrity Committee.

15. The VCAA will be responsible for the maintenance of an appropriately constituted file for each Scientific Integrity Inquiry Committee matter for at least seven years. Documented inquiry results and the VCAA's subsequent decisions on how to proceed with the matter will be made available to the respondent; relevant sections of the inquiry report also may be made available to the complainant, at the discretion of the VCAA, as deemed appropriate.

10.7.3 Investigation into Allegations of Scientific or Research Misconduct

1. In undertaking an investigation into alleged scientific or research misconduct, LSUHSC-NO will act promptly, fairly, thoroughly, and objectively; secure necessary and appropriate expertise to evaluate relevant evidence; and take precautions against any actual or perceived conflicts of interest. Throughout any such investigation, LSUHSC-NO will, to the extent possible, afford confidential treatment to the respondent(s), complainant(s), and any research subjects identifiable from research records or evidence.

2. If, after inquiry into the matter, the VCAA deems a more thorough investigation into the alleged scientific or research misconduct is warranted, the respondent will be afforded an opportunity to provide evidence and/or documentation relative to the allegations and any potential findings of the Academic and Research Integrity Committee.

3. Should it become necessary during the investigation, the VCAA will give the respondent timely written notice of any new allegations of scientific or research misconduct that may arise.

4. The VCAA will provide full and continuing cooperation with ORI, if applicable, during the investigation process, including sharing available records, evidence, access to people, etc., that would enable ORI to develop a complete record of relevant evidence in the alleged matter.

5. During the investigation, the VCAA will keep any applicable PHS funding agency apprised of any significant developments including disclosure of facts that may affect the current or potential funding for the respondent, if the awarding component needs to know to ensure appropriate use of its funds, or to protect the public interest.

6. LSUHSC-NO will take no more than 120 working days to complete an investigation, prepare the report of findings, obtain the comments of the subject(s) of the investigation, decide on the disposition of the case, and send the final report to ORI. If LSUHSC-NO is unable to complete all these steps within 120 days, the VCAA must request an extension

from ORI and, if the extension is approved, provide periodic progress reports to ORI.

7. The Academic and Research Integrity Committee will, within 10 working days of its appointment, initiate a thorough investigation of the alleged misconduct that will include at a minimum, throughout its course:
   (a) gathering and reviewing all relevant documentation, research records and evidence,
   (b) interviewing each respondent, complainant, and others with information regarding any relevant aspects of the investigation,
   (c) recording or transcribing those interviews, and
   (d) diligently pursuing all significant issues and leads relevant to the investigation

8. The Academic and Research Integrity Committee will complete its investigation and submit a written draft Investigation Report of its findings regarding the validity of the alleged scientific or research misconduct to the VCAA no more than 80 working days from initiation, unless an extension is approved in writing by the VCAA with concurrent notice to the respondent.

9. The VCAA will transmit this draft Investigation Report to the respondent, who will have 20 working days from transmittal to provide the VCAA with any written comments. The VCAA will transmit any written comments by the respondent on the draft to the Academic and Research Integrity Committee, which will have an additional 10 working days to consider and address those respondent comments and issue the final Investigation Report to the VCAA, which may but is not required to include recommended administrative action if scientific or research misconduct has been confirmed.
10. The VCAA will, within 10 days of receipt of the final Investigation Report, render a final written decision, make recommendations to the respective Dean regarding any potential penalties or other corrective administrative actions warranted by the findings, notify the respondent in writing of their final decision, and submit the final report to ORI consistent with the requirements of 42 C.F.R. Part 93.313.

11. The VCAA will be responsible for maintenance of an appropriately constituted file for each Academic and Research Integrity Committee matter for at least seven years. All written documentation, reports, and administrative decisions on the matter will be made available to the respondent; relevant sections of the final investigation report also may be made available to the complainant, at the discretion of the VCAA, as deemed appropriate.

12. The respective Dean is responsible for assessing and enforcing any appropriate penalties or corrective actions once the VCAA has confirmed a finding of scientific or research misconduct by the respondent.

13. Prior to the implementation of any such penalties or other corrective actions determined by the Dean, the respondent may appeal pursuant to Handbook Section 10.10.

10.7.4 Institutional Actions Subsequent to an Investigation Report Finding of Misconduct

1. If the alleged scientific or research misconduct is substantiated after a thorough investigation, the VCAA will notify ORI and transmit to ORI all the final institutional

Investigation Report materials within 120 days of initiation of the investigation, unless extended by ORI.

2. Concurrently, the VCAA will notify the appropriate sponsoring agency of the investigation findings of scientific or research misconduct.

3. The VCAA will require that the respondent withdraw or correct, as appropriate, all pending abstracts and papers emanating from or dependent upon the confirmed scientific or research misconduct and notify editors of journals in which previous related abstracts and papers appeared.

4. The VCAA will notify other institutions and sponsoring agencies with which the respondent has been affiliated if there is reason to believe that the validity of previous research might be questionable.

5. The VCAA will, in conjunction with the Dean, ensure appropriate action is taken to discipline, reprimand, terminate, or otherwise alter the status of a faculty member whose scientific or research misconduct has been substantiated through this investigative process.

6. The VCAA will consider, in consultation with chief counsel and other senior administrators, the release of information about the incident to the public, particularly if public funds were used in supporting research confirmed to be falsified, fabricated, or plagiarized.

10.7.5 Institutional Actions Subsequent to an Investigation Report Finding of No Misconduct

1. If the alleged scientific or research misconduct is not substantiated by a thorough investigation, the VCAA will undertake formal efforts to restore fully the reputation of the respondent. LSUHSC-NO will protect, to the maximum extent possible, the positions and reputations of those persons who, in good faith, make allegations of scientific misconduct. However, if the investigation determines that complainant(s) made allegations of scientific or research misconduct against the respondent(s) in bad faith, with malicious intent, or intellectual dishonesty, the VCAA will, in conjunction with the Dean, institute appropriate disciplinary action.

2. After the completion of an investigation, faculty practices and institutional policies and procedures for promoting the ethical conduct of research and investigating allegations of misconduct will be scrutinized and modified in light of the experience gained.

10.8 SUBSTANCE ABUSE AND DRUG-FREE WORKPLACE

1. LSUHSC-NO is committed to providing a drug-free workplace and seeks to make all members of its workforce aware of the dangers of drug abuse in the workplace as well as the availability of drug counseling, rehabilitation, and assistance through all appropriate means. CM- 38 details the expectations, policies and procedures to fulfill this commitment to the campus community.

2. The unauthorized use of, possession of, or being under the influence of alcohol and the

illegal use, abuse, possession, manufacture, dispensation, distribution of, or being under the influence of controlled or illegal drugs is prohibited while at work, on call, on duty, at school, or engaged in LSUHSC-NO business on or off LSUHSC-NO premises.

3. LSUHSC-NO shall provide for post-job-offer drug testing and an on-going alcohol and drug testing program for reasonable suspicion/for cause, post-accident, periodic monitoring or aftercare, and random testing. LSUHSC-NO shall also provide a Campus Assistance Program (CAP) for referral and assessment of alcohol and/or drug problems.

10.9 FITNESS FOR DUTY

1. As described in CM-37, LSUHSC-NO maintains certain standards and expectations of fitness for duty for all faculty, staff, residents, students, contract and subcontract workers, medical staff, volunteers, laborers, or independent agents (henceforth referred to as individuals) who are conducting business on behalf of, providing services for (paid or nonpaid), or being trained at LSUHSC-NO.

2. LSUHSC-NO promotes and protects the well-being of its faculty, staff, residents, students, and patients by:

1. Ensuring that an individual whose condition could place them “at risk” of causing a danger to self or others does not return to work/school until the individual is fit to return to employment/enrollment and is provided optimum support and supervision to minimize future risks and relapse.
2. Identifying impaired individuals and aiding in obtaining care and/or rehabilitation.
3. Ensuring impaired individuals are fit for employment/enrollment upon return to work.

10.10 PROCEDURES FOR FACULTY GRIEVANCES/APPEALS

1. LSUHSC-NO is committed to ensuring that its faculty members have a mechanism to address personnel and other work-related problems. An issue presented by grievance, and when applicable, by appeal should be one that has not or cannot be resolved within the regular administrative procedures. The detailed procedures for making and managing such matters are set forth in CM-24.

2. The grievance procedures established in CM-24 do not apply to matters relating to Termination for Cause; applicable due process procedures for Termination for Cause are outlined in Handbook Section 9.3.2.

10.10.1 General Provisions

1. The filing of a grievance or appeal does not relieve the complainant of assigned duties and responsibilities.

2. This grievance procedure is written in terms of a complaint against the decision of the Department Head. A complaint against the decision of a Dean or Vice Chancellor also follows the steps as delineated, beginning with informal discussion, then filing an appeal, if applicable, to the next level in the chain of authority.

3. All parties to the appeal shall attempt to resolve the conflict or dispute at the lowest administrative level possible. If these efforts fail, then informal reconciliation and/or a formal appeal can be initiated. A faculty member who believes that they have been treated unjustly is obliged to confer informally with the individual or individuals responsible for the action.

4. Two or more faculty members who allege that they have received similar unfair treatment may petition the Chancellor to have their appeals considered together. This decision to consolidate appeals shall be made by the Chancellor. If the appeals are consolidated, the Standing Appeal Committee may make separate recommendations regarding each faculty member. Claimants can refuse consolidation.

5. A faculty member who at any stage of the process fails to follow a request for further action by the deadline indicates acceptance of the determination at the previous stage. A faculty member who does not receive a response by the deadline may immediately proceed to the next stage of the procedure.

6. Any time limit set forth in this procedure may be extended by mutual written agreement of the parties and, when applicable, the consent of the chair of the appropriate committee.

7. If a faculty member seeks resolution of the matter through any agency outside of LSUHSC- NO, whether administrative, judicial, or other agency, LSUHSC-NO shall have no obligation to continue appeal proceedings subject to constraints of the law.

10.10.2 Informal Reconciliation

1. A faculty member shall discuss a grievance with their Department Head within 30 days of the most recent incident. Thereafter, both the faculty member and the party allegedly responsible for the complaint of action shall meet with the Department Head in a serious, good faith attempt to resolve the dispute. In the case of a complaint against an action by the Department Head, the faculty member shall first discuss the grievance with the Department Head in an attempt at informal resolution. Regardless against whom the complaint is made, the majority of issues should be resolved at this stage. The LSUHSC-NO Associate Ombuds is also always available to all parties for consultation and support.

2. If after informal discussion, the matter is not resolved between the faculty member and the party allegedly responsible for the complaint of action, the faculty member may request intervention by the Dean. The faculty member shall deliver the Request for Intervention to the Dean within 10 days after the meeting with the Department Head. The Request for Intervention shall include the following:
   (a) a concise statement of the complaint;
   (b) a reference, when applicable, to the section(s) of the Handbook or University Regulations that were allegedly violated, and
   (c) a statement of relief sought.

3. The Dean or their designee shall arrange a meeting with the concerned parties within 10 days of receipt of the Request for Intervention. At the close of the meeting or within five days thereafter, the Dean shall render a decision. The decision shall be in writing, and a copy of the decision shall be delivered by certified mail to the faculty member. Copies of the decision shall also be provided to the Department Head and the party allegedly

responsible for the complaint of action. The decision of the Dean shall be final in matters deemed not appealable.

10.10.3 Formal Appeal

1. Not all personnel and work-related problems are of a nature such that they will be subject to formal appeal. In the case of grievances that do not involve appealable issues, the decision of the Dean will be final. The following are defined as appealable issues:
    (a) Alleged denial of academic freedom;
    (b) Alleged failure to follow due process procedures with respect to appointment renewals, tenure, promotion, compensation, suspension, or reassignment;
    (c) Alleged violation, misinterpretation, or inequitable application of a Faculty Handbook provision;
    (d) Alleged discrimination on the basis of age, sex, race, religion, national origin, marital status, disability, or veteran status;
    (e) Findings of sexual harassment, sexual discrimination, or any other discrimination;
    (f) Personnel decisions by Department Heads, other administrators, or faculty committees, that allegedly do not conform to the letter or intent of established and accepted procedures and criteria.

2. Non-reappointment and judgments regarding academic quality or professional performance, including the granting or denial of tenure, are not subjects for appeal; however, the propriety of the procedures employed in making such determination is subject to the appeals procedure.

10.10.4 Standing Appeal Committee

1. A Standing Appeal Committee shall be formed to hear faculty appeals. This committee shall be advisory to the Chancellor and shall report only to them. The committee shall be constituted of six faculty members and six faculty alternates appointed by the Chancellor, after consulting with the officers of the Faculty Senate, from the elected representatives of each school of LSUHSC-NO. As each member and alternate rotates off the Committee, a replacement and corresponding alternate shall be selected to serve for a period of six years. The chair of the committee and their alternate shall serve in such capacities for a one-year period and shall be that individual and their corresponding alternate serving in their last year on the committee. The Chancellor may reappoint committee members, though no committee member may serve consecutive terms.

2. Each party to the appeal is allowed two peremptory challenges to committee membership, which must be submitted in writing to the chair of the committee within five days of notification by the Chancellor of those persons constituting the Standing Appeal Committee. Thereafter, the challenged committee member (including the committee chair, if appropriate) shall be recused and their alternate shall serve.

3. If a member of the committee believes that it would be inappropriate for them to hear and decide a particular case due to a perceived conflict of interest, they may recuse themselves prior to convocation of the formal hearing. Under these circumstances, the member's corresponding alternate shall replace the recused committee member. If members become unable to continue to serve after deliberations have begun, the

committee shall continue without its full complement. However, a minimum of four committee members must be present at each session or the session will be canceled. If vacancies occur after the deliberations have begun, such that the Appeal Committee is reduced to fewer than four members, the Appeal Committee procedure will be void, the Chancellor will designate an *ad hoc* committee and alternates, and the formal appeal procedures will begin again.

10.10.5 Appeal Procedure

In cases involving appealable issues, a faculty member dissatisfied with the decision of the Dean may institute a formal appeal as follows:

1. The faculty member shall deliver Notice of Appeal to the Chancellor within five days after receipt of the Dean's decision. The Notice of Appeal shall include the Request for Intervention and a copy of the Dean's decision. The Chancellor shall make the determination as to whether an issue presented is appealable under the provisions of this procedure. This decision of the Chancellor is not subject to appeal. Appeals involving allegations of discrimination that have not yet been investigated pursuant to Handbook Section 10.6.4 shall be referred to HRM by the Chancellor for investigation and report.

2. Upon receipt of the Notice of Appeal (or in cases where there has been an allegation of discrimination, after receipt of the report and recommendations of HRM), the Chancellor shall within 10 days take one of the following actions:
    (a) Consider the matter and grant the relief sought or adopt the decision of the Dean;
    (b) Grant the appeal and convene the Standing Appeal Committee; or
    (c) Deny the appeal in whole or part as not setting forth an appealable issue. In cases where an appeal is based in whole or part on discrimination, the Chancellor shall refer that portion of the appeal to the Standing Appeal Committee.

3. The Chancellor's decision shall be in writing and a copy of the decision shall be delivered by certified mail to the concerned parties. Copies of the decision shall also be provided to the Dean. If the Chancellor grants the appeal and decides to convene the committee, they shall within 10 days of his decision:
    (a) Notify the chair of the Standing Appeal Committee in writing and provide the chair with a copy of the Notice of Appeal and, in the case of alleged discrimination, a copy of the report and recommendation of HRM; and
    (b) Notify the parties to the appeal of the names of the committee members.

4. Upon receipt of the Notice of Appeal, the chair shall distribute a copy of the formal appeal to the committee members. Each party to the appeal shall be allowed two peremptory challenges, which must be submitted in writing to the Chancellor within five days of receipt of notification as to the composition of the Standing Appeal Committee.

5. The chair shall establish the hearing date. The parties shall be given at least 15 days' notice of the date, time, and place of the hearing. The chair shall send the notice by certified mail and copies of the notice shall be provided to the Dean and

Chancellor.

6. Each party shall provide the committee chair and the other party a witness list, brief summary of the testimony expected to be given by each witness, and copies of all documents to be introduced at the hearing at least 10 days prior to the hearing. In addition, the Appeals Committee shall conduct its own independent investigation regarding the action being challenged. If, during its own independent investigation, the committee deems additional documents to be relevant that have not been submitted by the parties, the committee shall provide copies to each party at least 10 days prior to the hearing. LSUHSC-NO records and documents relevant to the case shall be made available to the committee on request, subject to legal constraints or applicable pledges of confidentiality.

7. The hearing shall be conducted as follows:

   (a) The chair of the committee shall conduct the hearing. In cases of retrenchment, the *ad hoc* committee's plan of retrenchment will be considered presumptively valid, but the burden of justifying exceptions to the plan (such as a departure from the order of seniority) will rest with the administration.

   (b) Each party shall have the right to appear, present a reasonable number of witnesses, present documentary evidence, and cross-examine witnesses. The committee may call additional witnesses it believes have relevant testimony to offer. Testimony is under oath or affirmation before a certified court reporter. Testimony may be received via telephone, subject to the convenience of the committee members. The parties may be excluded if the committee meets in executive session.

   (c) The faculty member may be accompanied by an attorney as a non-participating advisor. If the faculty member elects to have an attorney present, the party allegedly responsible for the complaint of action may also be accompanied by an attorney. The attorneys for the parties may confer and advise their clients upon adjournment of the proceedings at reasonable intervals to be determined by the chair, but may not question witnesses, introduce evidence, make objections, or present arguments during the hearing. However, the right to have an attorney present can be denied, discontinued, altered, or modified if the committee finds that such is necessary to ensure its ability to properly conduct the hearing.

   (d) Rules of evidence and procedure are not applied strictly, but the chair shall exclude irrelevant and duly repetitious testimony. The chair shall rule on all matters related to the conduct of the meeting and may be assisted by LSUHSC-NO Chief Counsel.

   (e) Upon request, the chair shall invite an AAUP representative to be present during the hearing as a non-participating observer.

   (f) The hearing shall be recorded by a certified court reporter. At the request of the Chancellor, Dean, or committee chair, the recording of the hearing shall be transcribed, in which case each party to the appeal, upon written request, shall receive a copy of the transcript.

(g) Following the hearing and after reviewing all the evidence, the committee shall render a written report to the Chancellor within 10 days. This report shall include the committee's findings and recommendations, a summary of the testimony presented, and any dissenting opinions.

(h) The Chancellor shall review the committee's report and may accept, reject, or modify the committee's findings and recommendations. The Chancellor shall render a written decision within 10 days of receipt of the committee's report. The Chancellor's final decision, along with a copy of the Standing Appeal Committee's findings and recommendations, shall be sent to the parties by certified mail, and copies shall be sent to the members of the Standing Appeal Committee, the Dean, Department Head, and any other appropriate administrators. The Chancellor's decision shall be final.

10.11 MULTIPLE AUTHORSHIP IN PUBLICATIONS

1. LSUHSC-NO supports and endorses the AAUP "Statement on Multiple Authorship":"… in the scholarly world, collaboration is the norm. This appears to be particularly true in those sciences where separated disciplines must be brought to bear on a novel question, or where complex, articulated laboratory organizations are essential, or where the scale is so large and the expense so vast that any original contribution is beyond the capacity of a scholar working alone or of even small teams of scholars. In this varied and constantly shifting situation, disciplines have arrived at certain conventions that govern the listing of names of collaborators."

2. Any authorship disagreements or conflict should first be addressed by the respective Department Head and Dean. Any such disagreements that cannot be resolved at the level of the school should be referred to the VCAA for adjudication. The LSUHSC-NO Associate Ombuds is also always available to all parties for consultation and support.

10.12 INDIVIDUAL AND INSTITUTIONAL CONFLICTS OF INTEREST IN SPONSORED PROJECTS

1. LSUHSC-NO encourages its faculty and academic personnel to participate in meaningful professional research relationships with industry, government, and private entities. These mutually beneficial relationships may generate vital biomedical knowledge or intellectual property to benefit the public; however, they may also create potential financial or non-financial conflicts of interest, on the part of either individuals or the institution, which could be perceived to threaten the integrity of the design, conduct, or reporting of the research or the welfare of human research participants.

2. All such potential or actual conflicts of interest related to research must be disclosed in advance of initiation of that research. CM-35 establishes the framework and processes that allow LSUHSC-NO to identify and manage potential research conflicts of interest while minimizing reporting and other burdens placed on investigators.

3. Any potential conflicts of interest that may arise in the conduct of research are judged upon the particular circumstances of each situation and do not reflect upon the character of individuals conducting that research. LSUHSC-NO seeks to maintain a reasonable balance

between competing interests, giving the institution the ability to identify and manage financial and non-financial interests that may bias the research project, and minimizing reporting and other burdens on the investigators.

10.13 PUBLIC INFORMATION & MEDIA

10.13.1 Public Information & Media Policy

The Office of Information Services is charged with the responsibility for releasing information, including the university's official position on issues involving LSUHSC-NO, to which the press has a reasonable claim. CM-48 outlines this policy and establishes the following procedures:

1. LSUHSC-NO faculty, staff, or students shall not release information about programs, events and other activities to the media independent of the Office of Information Services.

2. No LSUHSC-NO faculty, staff, or students is authorized to speak to the media concerning LSUHSC-NO policy or significant matters affecting the university unless they are working in conjunction with the Office of Information Services and the Chancellor's Office.

3. All media contacts to the campus must be directed to the Office of Information Services.

4. Faculty and staff should make every effort to apprise the Office of Information Services of events that may be newsworthy, including research projects, grants, faculty and staff additions, special events, honors, and awards.

5. Faculty and staff shall work with the Office of Information Services to "be available" to representatives of the news media when requested. The Office of Information Services will direct reporters to the proper representative for direct comment on stories relevant to LSUHSC-NO.

Nothing in this policy is intended to affect the responsibility of faculty members for their scholarly publications and personal involvement in community activities. Nor is it intended to affect an individual's right to express their personal views as long as those views are not attributed to LSUHSC-NO, directly or indirectly, presented on LSUHSC-NO letterhead, or from the LSUHSC- NO campus.

10.13.2 Social Media

Social networking (both on LSUHSC-provided services and on commercially available services) can help support the university's mission of medical education, research, patient care, and service to the community. LSUHSC-NO is committed to facilitating a successful social media strategy for its personnel. To that end, each school at LSUHSC-NO has developed its own social media policy. These guidelines are posted on each school's website.

School of Allied Health Professions
School of Dentistry
School of Medicine

School of Nursing
School of Public Health

10.14 INTELLECTUAL PROPERTY

10.14.1 Ownership & Management of Intellectual Property

1. The LSU Board Regulations establish an LSU System-wide set of policies and procedures for owning and managing inventions or other intellectual property that may arise in the conduct of academic research and activity.

2. LSU Intellectual Property is defined as "…collectively, any LSU Invention, LSU Work, LSU Software, LSU Digital Media, LSU Database, LSU Mark, or Other LSU Intellectual Property," with an exception where intellectual property that might otherwise fall under the definition of LSU Works may be released to the author/creator.

3. LSUHSC-NO, on behalf of the LSU Board, owns all such LSU Intellectual Property. As a condition of employment, faculty are required to disclose and assign to the institution all right, title, and interest to any LSU Intellectual Property and to execute such other documents and perform such other lawful acts (at no out-of-pocket expense to themselves) as may be requested to secure LSUHSC-NO's interest in the LSU Intellectual Property.

4. LSUHSC-NO, through its Office of Innovation & Partnerships, assumes all responsibility and costs for the legal protection, through patents or copyrights, and commercialization of LSU Intellectual Property. If LSUHSC-NO determines not to move forward with the expense of protecting a piece of LSU Intellectual Property, there is a process for relinquishing and assigning it back to the inventor(s)/author(s).

5. Faculty members or employees who believe they have created intellectual property, whether it may have commercial potential or if it was developed under a sponsored project, should report it and disclose evidence of its creation to the Office of Innovation & Partnerships by submitting an Innovation Disclosure Form.

10.14.2 Prohibition of Restrictions on Publication

1. University Regulations on Intellectual Property do not prohibit or restrict faculty from publishing in academic channels any material that they are otherwise free to publish. Faculty are cautioned, however, that early publication can destroy or impair legal protection that may otherwise be available for intellectual property. Faculty should consult with OIP well before the first planned publication to ensure maximum protection for potential intellectual property.

2. Regarding research sponsors and licensees requesting publication restriction, as a matter of policy, LSUHSC-NO shall not normally accept restrictions or prohibitions on publications, other than a requirement for delaying publication for a reasonable period, from research sponsors and intellectual property licensees. Before LSUHSC-NO can consent to any such restrictions on publication, both of the following conditions must be satisfied and documented:
   (1) the restrictions are tailored to be the least restrictive conditions that will satisfy the

legitimate concerns of the sponsor or licensee, and (2) all LSU personnel likely to be affected by the proposed restrictions have consented to the restrictions.

10.14.3 Allocation of Distributable Royalties

University Regulations establish an allocation of Distributable Royalties, as follows:

1. Forty percent (40%) shall be paid or transferred to the respective inventors or authors within 30 days of receipt by LSUHSC-NO, unless a different schedule is otherwise agreed in writing by LSUHSC-NO and the inventor(s) or author(s).

   (a) For as long as LSUHSC-NO receives such Distributable Royalties, payment of this allocation of Distributable Royalties shall continue to the respective inventors or authors, regardless of whether they continue employment at LSUHSC-NO, or to their heirs, as applicable.
   (b) Further provided, that upon the written request of any inventor or author, all or part of that inventor's or author's share of Distributable Royalties may be (1) retained by LSUHSC-NO to support research under the direction of that inventor or author, or (2) paid to any other LSUHSC-NO personnel who made a non-inventive contribution to the LSU Intellectual Property, according to a written agreement. Assessing and managing any personal tax implications of any such requests shall be the sole responsibility of the inventor or author.
   (c) In recognition of the administrative costs that are associated with distributing small Distributable Royalty payments, the following procedures shall be used where applicable. At any time when the cumulative total of undistributed Distributable Royalty payments received on account of a particular license of LSU Intellectual Property in a given fiscal year is less than $250, the Distributable Royalties for that license shall not be distributed as otherwise provided but shall instead be held by LSUHSC-NO until the end of the current fiscal year. If, at any time during that fiscal year, the cumulative undistributed total reaches $250, then the accumulated Distributable Royalties shall at that time be distributed as otherwise provided herein.

2. Five percent (5%) to the Office of the LSU President.

3. Five percent (5%) to the LSU LIFT2 (Leveraging Innovation for Technology Transfer) Fund in the Office of the President for support of proof-of-concept grants to faculty at any LSU System institution in furtherance of commercial development of inventions.

4. Fifty percent (50%) to LSUHSC-NO, divided as thirty-five percent (35%) to the Office of the Chancellor and fifteen percent (15%) to the Inventor's/Author's department.

11.0 OUTSIDE EMPLOYMENT POLICIES & PROCEDURES

11.1 OUTSIDE EMPLOYMENT OF LSUHSC-NO EMPLOYEES

LSUHSC-NO recognizes that certain outside employment activities are of benefit to the institution, to the State of Louisiana, and to the private sector as well as to individual employees. Although LSUHSC-NO recognizes a right of employees to engage in outside employment, there are policies and procedures established by the State of Louisiana and the LSU System (PM-11) requiring that such outside employment be disclosed and submitted for administrative review and approval. A summary of these policies and procedures is below.

1. All full-time employees of LSUHSC-NO including faculty, other academic, unclassified and classified, must disclose outside employment in accordance with PM-11 and comply with all its provisions, including during regular and summer term and while on paid or unpaid leave.

2. Outside employment is defined as any non-LSUHSC-NO activity for which economic benefit is received, including but not limited to:
   (a) employment with any non-LSUHSC-NO employer;
   (b) contracts to provide consulting, personal or professional services to non-LSUHSC-NO individuals or entities, including publishing agreements or arrangements; or
   (c) self-employment or operation of a business.

3. Economic benefits include cash payments or such other non-cash economic benefit, e.g., share of profits, shares of stock, equity participation, etc., as the employee and outside employer may agree, provided that such non-cash economic benefit shall not have a present value significantly in excess of fair compensation for the services rendered. Compensation rates for outside employment need not be related to LSUHSC-NO salary rates but should be negotiated fairly based on normal private sector levels for similar services.

4. Outside employment shall be performed only outside of assigned working hours or responsibilities or during a period of paid or unpaid leave. During paid sabbatical, special or educational leave, outside activities may be permitted only in exceptional circumstances.

5. Outside employment shall not conflict, delay, or in any manner interfere with instructional, scholarly, and/or other services that the employee is obligated to render to LSUHSC-NO.

6. Clinical activities that are not performed on behalf of the institution are not covered by LSUHSC-NO malpractice insurance. Malpractice coverage must be provided by the individual or by the entity for which clinical services are provided.

7. LSUHSC-NO personnel, laboratories, services, and equipment may be used in connection with approved outside employment only with prior authorization of the Chancellor or their designee under a contract between LSUHSC-NO and the private

third party. Compensation to LSUHSC-NO must be paid at the fair market rate or, if different, at the same rate that such services, facilities, equipment, or technology would be available to any qualified non- LSUHSC-NO user.

8. Compliance with the provisions of this policy is required by the Louisiana Code of Governmental Ethics. Violation of this policy may result in a violation of the Ethics Code and penalties applicable thereto and/or appropriate sanctions by LSUHSC-NO. All employees, both full-time and part-time, are subject to the Ethics Code.

11.2 CONTRACTS BETWEEN LSUHSC-NO AND ITS FACULTY MEMBERS

1. LSUHSC-NO recognizes the benefits to the State of Louisiana, to the private sector, and to its employees in allowing, under limited circumstances, contracts between itself and its faculty members or a legal entity in which a faculty member has an interest. While such contracts would normally be in violation of the Louisiana Code of Ethics, Louisiana law (La. R.S 42:1123) allows for certain limited exceptions unique to the academic technology transfer environment when the contract involves either (a) the disposition of a patent, copyright, licensing right, or royalty which is attached to a discovery, technique, or technology resulting from research done by a faculty member in the course of their employment with LSUHSC-NO, or (b) an activity related to or resulting from research activity of a faculty member conducted in the course of their employment with LSU. PM-67 outlines this policy and establishes the following procedures:

2. If an entity in which an LSUHSC-NO faculty member or academic employee has an interest wishes to contract with the institution, the following general procedures must be followed:

a) The ownership interests in the entity must be disclosed in writing to the appropriate Chancellor or designee.
b) All negotiations between a faculty member, or an entity in which they have an interest, and LSUHSC-NO must be arm's length.
c) A designated LSUHSC-NO employee must be appointed to negotiate and confect the contract.
d) A standing committee appointed by the LSU President shall review all such proposed contracts after the terms are agreed but prior to execution.