Policy 102

1 Introduction

1.1 Appalachian State University is one of sixteen constituent universities in the University of North Carolina system. The administrative head of the University of North Carolina is the President elected by the Board of Governors. Each institution is headed by a chancellor who reports to the President of the University of North Carolina.

2 Scope

3 Definitions

4 Policy and Procedure Statements

4.1 The Board of Governors

4.1.1 The Board of Governors plans and develops the coordinated system of higher education in North Carolina and in doing so maintains close liaison with other state, as well as private, educational agencies. The Board is responsible for the general determination, control, supervision, management, and governance of all affairs of its constituent institutions and for these institutions determines their functions, educational activities, and academic programs.

4.1.2 A unified recommended budget for all public senior higher education is prepared by the Board of Governors to be presented to the Governor and the General Assembly. The Board sets tuition, required fees, and enrollment levels of the constituent institutions.

4.1.3 The Board of Governors elects each of the chancellors of the constituent institutions and determines compensation for each chancellor. It also appoints and determines the compensation of all vice chancellors, senior academic and administrative officers, and persons having permanent tenure.

4.1.4 The Board may delegate any part of its authority over the affairs of any institution to the chancellor or board of trustees of that institution. Any delegation of authority may be rescinded by the Board of Governors at any time in whole or in part. The Board possesses all powers not specifically given to institutional boards of trustees.

4.1.5 The Board of Governors and the President of the University of North Carolina have delegated the administrative responsibilities for Appalachian State University to the Chancellor.

4.2 The Board of Trustees

4.2.1 The Board of Trustees of Appalachian State University promotes the sound development of the institution within the functions prescribed for it, helping it to serve the state in a way that will complement the activities of the other institutions and aiding it to perform at a high level of excellence in every area of endeavor. The board serves as advisor to the Board of Governors on matters pertaining to Appalachian State University and also serves as advisor to the Chancellor concerning the management and development of Appalachian State University. The powers and duties of the Board of Trustees are primarily defined and delegated by the Board of Governors.

4.3 The Chancellor

4.3.1 The Chancellor is the administrative and executive head of Appalachian State University and exercises complete executive authority therein, subject to the direction of the President. The Chancellor is responsible for carrying out policies of the Board of Governors and the Board of Trustees.

4.3.2 By June 30 of each year the Chancellor prepares a detailed report on the operation of the institution for the preceding year. This report is presented to the Board of Governors and the Board of Trustees.
4.3.3 It is also the Chancellor's specific duty and responsibility to:

1. Attend all meetings of the Board of Trustees and be responsible for keeping the Board of Trustees fully informed on the operation of Appalachian State University and its needs.
2. Keep the President, and through the President, the Board of Governors, fully informed concerning the operations and needs of the institution. Upon request, the Chancellor is available to confer with the President or with the Board of Governors concerning matters that pertain to Appalachian State University.
3. Make recommendations for the appointment of personnel within Appalachian State University and for the development of educational programs, subject to policies prescribed by the Board of Governors and by the Board of Trustees.
4. Provide leadership in supporting equality of opportunity and in supporting the protections available to members of the university community under all applicable federal laws.

4.4 The Provost and Vice Chancellor for Academic Affairs

4.4.1 The Provost and Vice Chancellor for Academic Affairs is responsible directly to the Chancellor. Following are those offices which report directly or through an Associate Vice Chancellor to the Provost and Vice Chancellor for Academic Affairs:

1. College of Arts and Sciences
2. College of Business
3. College of Education
4. College of Fine and Applied Arts
5. School of Music
6. General College
7. Graduate Studies and Research
8. Office of Cultural Affairs
9. Academic Computing Services
10. Admissions
11. Appalachian Consortium
12. Computer and Management Services
13. Broyhill Inn and Conference Center
14. William C. Hubbard Center for Faculty Development and Instructional Services
15. Institutional Research
16. University Library
17. Math and Science Education Center
18. University Planning
19. Records Management and University Archives
20. Registrar
21. Summer Sessions

4.4.2 The following is a list of the duties and responsibilities of the Provost and Vice Chancellor for Academic Affairs.

4.4.3 Working with the Provost and Vice Chancellor in the discharge of these duties and responsibilities are the Associate Vice Chancellors for Academic Affairs.

1. Provide leadership in initiating and encouraging continuing studies and research among the faculty, designed to improve the curriculum and the quality of instruction. In this capacity the Provost and Vice Chancellor and her/his Associates work with the deans of the various colleges, the chairpersons of the various departments, the Director of Admissions, the Registrar, and the Dean of Graduate Studies and Research in planning, developing, and directing the curriculum.
2. Assist the deans of the colleges in determining the needs for instructional personnel and arranging to locate such personnel. On the recommendation of the departmental personnel committee, the department chairperson and the dean, and subject to the approval of the Chancellor, the Provost and Vice Chancellor for Academic Affairs appoints the members of the faculty.
3. Prepare a recommended biennial budget for the instructional program. In the preparation of this budget, the Provost and Vice Chancellor for Academic Affairs receives from the deans of the colleges a detailed description of the needs of each college. The Provost and Vice Chancellor and the deans discuss these needs and decide upon the items to be included in the budgets proposed to the Vice Chancellor for Business Affairs, who consolidates the requests and submits them to the Chancellor, who in turn submits the final budget requests to the Board of Governors of the University of North Carolina.
After appropriations are made and the budget is certified and approved at the university level, the Provost and Vice Chancellor for Academic Affairs informs by memorandum each of the deans of the allocations made to their respective areas. As emergency needs arise, the Provost and Vice Chancellor for Academic Affairs and the Vice Chancellor for Business Affairs confer to determine how the needed materials and equipment may be purchased within the finances of the University.

1. Coordinate and supervise the publication of such documents as the University bulletins and companion bulletins, the Faculty Handbook, the Academic Policies and Procedures Manual, the schedules of classes and examinations and the Faculty Pictorial Directory.

In this effort, the Provost and Vice Chancellor for Academic Affairs is empowered to make whatever changes are necessary in the best interest of the University.

1. Participate in discussions concerning needed new buildings, the development of plans for new buildings, and the purchase of instructional equipment for them.
   The Provost and Vice Chancellor, in cooperation with the Office of Business Affairs, coordinates utilization of all instructional space on the campus and recommends to the Vice Chancellor for Business Affairs needed changes in physical arrangements of instructional space.

2. Cooperate with the Faculty Senate in developing agenda for meetings of the general faculty. The Provost and Vice Chancellor for Academic Affairs serves as Chairperson of the general faculty and advises the faculty and the Faculty Senate on matters of an academic nature.

3. Assemble information and prepare reports relating to academic affairs for such agencies as the State Department of Public Instruction, the Board of Governors of the University of North Carolina, accrediting associations, the United States Department of Education, and others.

4. Appoint such special committees of faculty and/or students as are deemed necessary for effective and efficient participation of these groups in academic matters.

5. Provide leadership in supporting equality of opportunity and in supporting the protections available to members of the University community under all applicable federal laws.

The Vice Chancellor for Business Affairs

The Vice Chancellor for Business Affairs is directly responsible to the Chancellor. The Vice Chancellor is the chief business and fiscal officer of the University. Working with the Vice Chancellor in the discharge of these duties and responsibilities are the Associate Vice Chancellor for Financial Management, the Associate Vice Chancellor for Physical Operations and the Assistant Vice Chancellor for Auxiliary Operations.

Business Affairs areas are:

<table>
<thead>
<tr>
<th>Operation</th>
<th>Functions</th>
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<tbody>
<tr>
<td>Budget Office</td>
<td>Budgeting</td>
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<td>Information Technology</td>
<td>Systems Accounting</td>
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<td>Office of the Controller</td>
<td>Accounting</td>
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<td>Disbursements and Collections</td>
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<td>Financial Administration of Grants</td>
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<td>Payroll</td>
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<td>Physical Plant</td>
<td>Motor Pool</td>
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<td>Administrative Services</td>
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<td>Facilities Support</td>
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<td>Plant Engineering</td>
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<td>Building Services</td>
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<td>New River Light and Power Company</td>
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<td>Office of Public Safety/University Police</td>
<td>Campus Security</td>
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<td>Traffic and Parking</td>
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<td>Public Safety</td>
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4.5.3 The duties and responsibilities of the Vice Chancellor are:

1. Prepare and consolidate for presentation to the Chancellor, budgets for maintenance and operation of the University and for capital improvements. In the preparation of these budgets, the Vice Chancellor confers with those responsible for the various administrative offices and with persons in auxiliary operations having budgetary information to present. Prepare and make available to other administrative officers information relative to budgets for their areas and advise them in the preparations of their budgets. After the certified budgets are received from the State Department of Administration and are certified at the University administrative level, the Vice Chancellor administers them according to established policies and procedures.

2. Collect and account for all monies due the University, keep all records of receipts and disbursements, purchase all supplies and equipment, prepare for all official audits, and prepare or approve information contained in all fiscal reports for the Office of State Budget and Management, the Board of Trustees, and other official bodies.

3. Coordinate and direct efforts involved in renovations and in the planning and construction of buildings. Participate in the selection of architects for new facilities and for projects for renovation. The Vice Chancellor is in charge of maintenance care and security of all buildings and grounds including landscaping and beautification, and is also in charge of campus traffic and safety.

4. Supervise and give general direction to the operation of all the auxiliary services of the University.

5. Provide and coordinate operation of administrative support services, which include mail and mailing services (on campus and off campus), central stores, communications, and motor pool.

6. Develop, distribute, and keep all legal papers and documents required of or needed by the University such as deeds and titles to property and agreements of financial nature with individuals, corporations, and local, state, and federal governments and their agencies.

4.6 The Vice Chancellor for Student Development

4.6.1 The Vice Chancellor for Student Development reports to the Chancellor. The Vice Chancellor for Student Development is responsible for the general organization of all student development functions of the University.

4.6.2 It is the primary responsibility of the Vice Chancellor to provide supervision of the fiscal and personal aspects of a comprehensive student development program. It is imperative that leadership be provided for staff development, a genuine feeling of student advocacy be established, and valued input to the Administrative Cabinet be initiated. The Vice Chancellor provides leadership, coordination, and general supervision of the following offices, activities or persons:

1. Associate Vice Chancellors for Student Development
2. Director of Career Development Center
3. Director of Center for Student Involvement and Leadership
4. Director of Counseling and Psychological Services Center
5. Director of Financial Aid
6. Director of Residence Life
7. Director of Shook Health Services
8. Director of Student Programs
9. Administrative Assistant
10. Director of Student Conduct
11. Director of Recreational Sports

4.6.3 It is also the duty and responsibility of the Vice Chancellor for Student Development to:

1. Plan and conduct regular division directors’ meetings and individual meetings for the purpose of training, input, accountability, dissemination of information, and evaluation of performance.
2. Provide supervision of and support for a staff development program for Student Development personnel.
3. Prepare (with staff input) and defend the annual budgets for the Division of Student Development.
4. Prepare and maintain cumulative personnel folders for all Student Development employees.
5. Work with students
1. Counsel with students on any matter: academic, vocational, personal, social and financial.
2. Prepare and disseminate reports and summaries to state, federal, and local agencies and information to the academic community concerning the Division of Student Development.
3. Serve as ombudsman for students and perform as a student advocate.
4. Regularly access student perceptions of the various functions of Student Development.

6. Work with committees
   1. Coordinate and regularly assemble the Vice Chancellor's Student and Faculty Leadership Cabinet.
   2. Perform as a team member on the Administrative Cabinet.
   4. Review recommendations of the Student Media Board.

Special Duties

1. Provide a continuing evaluation of student needs and interests as well as institutional goals leading to the development and modification of student development programs and services.
2. Assist the Chancellor and perform such other duties as are assigned.

4.7 The Vice Chancellor for University Advancement

4.7.1 The Vice Chancellor for University Advancement is responsible directly to the Chancellor.

4.7.2 The division serves as the primary source for public information on university activities; maintains on-campus and off-campus contacts; and, seeks to secure financial support for the stated goals and purposes of the University.

4.7.3 The following areas are organized and administered through the Office of University Advancement. The directors of each of these various areas report directly to the Vice Chancellor for University Advancement.

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<tr>
<th>Organization</th>
<th>Functions</th>
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<tbody>
<tr>
<td>Alumni Affairs</td>
<td>Alumni functions and activities Annual Giving</td>
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<tr>
<td>Appalachian State University Foundation, Inc.</td>
<td>Fund Raising Administration of donations and gifts Athletic fund raising An Appalachian Summer Gifts Planning Public Relations</td>
</tr>
<tr>
<td>University News Bureau</td>
<td>Media relations Photography Constituent Development</td>
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4.7.4 Further, it is the duty and responsibility of the Vice Chancellor for University Advancement to:

1. Create a favorable environment for university operations.
2. Effectively encourage financial support for the University.
3. Manage the Appalachian State University Foundation, Inc.
4. Centrally and decentrally execute all private fund-raising activities of the University.
5. Effectively promote the visibility and image of the University.
6. Encourage and support all public information, promotion and public affairs activities of the University.
7. Coordinate, administer and promote all alumni functions and activities.
8. Provide oversight of materials published for off-campus distribution.
9. Develop partnerships and alliances with corporations and other constituencies for the benefit of academic programs and activities.

4.8 The Executive Assistant to the Chancellor

4.8.1 The Executive Assistant to the Chancellor is responsible for carrying out the policies and initiatives of the Chancellor.
These include but are not limited to:

1. Articulating the University’s message and needs to the North Carolina General Assembly in cooperation with the UNC General Administration.
2. Assisting the Chancellor in keeping the Board of Trustees informed about the operation of the University and its needs.
3. Assisting the Chancellor in working with the Board of Governors.
4. Special programs, projects, and issues as assigned by the Chancellor.

4.9 The Director of Athletics

4.9.1 The Director of Athletics reports to the Chancellor. The Director of Athletics is responsible for the overall administration and management of the Athletic Department functions. Department areas include:

1. Intercollegiate Varsity Programs
2. Sports Information
3. Athletic Fund Raising
4. Sports Medicine
5. Ticket Operations
6. Television and Radio Operations
7. Strength and Conditioning Operations
8. Athletic Academic Advising
9. Business Operations

4.9.2 The duties and responsibilities of the Director of Athletics are to:

1. Serve as the University’s principal representative in the field of intercollegiate athletics.
2. Administer all fiscal operations in accordance with the applicable law and University policy.
3. Establish administrative policies and procedures that aid in achieving athletic goals and sound academic standards.
4. Keep abreast of Conference and NCAA activities and attend required meetings.
5. Provide leadership for supervision of compliance with NCAA rules and regulations by coaches, alumni, and supporters of the University.
6. Provide supervision, leadership and assistance in Athletic fund raising.
7. Make recommendations to the Chancellor in the selection, evaluation and dismissal of Athletic personnel.
8. Promote in every worthy and proper way the good image of the Athletic Department and University.
9. Create a favorable climate for Athletic operations that encourages financial support for the Athletic Department and University.

4.10 The Director of Equal Opportunity Programs

4.10.1 The Director of Equal Opportunity Programs reports to the Chancellor. The Director is responsible for non-discrimination and affirmative action programs for minorities, women, the disabled, and other protected groups among the faculty, staff and students.

4.10.2 The Director works cooperatively with all administrators, Vice Chancellors, Deans and Directors, and Chairpersons and Supervisors.

4.10.3 The Director manages all aspects of the University’s equal opportunity programs including the following:

1. Overseeing the updating and implementation of the University’s affirmative action plan(s).
2. Ensuring understanding of and compliance with the letter of the various laws and regulations, and promotes commitment to the spirit of the various laws and regulations as well.
3. Monitoring equal opportunity compliance.
4. Serving as liaison with organizations both internal and external to the university.
5. Serving as the Section 504 and ADA Compliance Officer, and the Title IX Coordinator.
6. Preparing necessary reports and conducting research studies.
7. Reviewing and evaluating program requirements and developing written policies and procedures to implement provisions of federal, state and university statutes, regulations and requirements.
8. Providing administrative, technical, and compliance assistance to a variety of campus offices on matters relating to equal opportunity programs.
9. “Charging” search committees at the level of chairperson, coordinator, and director and above as well as providing relevant
information to departmental personnel committees.
10. Reporting problems and recommending opportunities to the Chancellor and the Administrative Cabinet.
11. Serving as the University's internal investigator into equal opportunity allegations from both internal persons or committees and federal agencies.

4.10.4 The Director is ably assisted by the University Equal Opportunity Task Force Members and Associates (EOA's). The Task Force meets periodically throughout each academic year and the Director meets individually with each EOA.

4.10.5 Additional responsibilities of the Director include but are not limited to ensuring that:

1. Recruitment, hiring, training, and the promotion of persons in all job classifications are made without regard to race, color, sex, national origin, religion, age or disability.
2. Decisions on employment are based so as to further the principle of equal employment opportunity.
3. Promotion decisions are in accord with principles of equal employment opportunity by imposing only valid requirements for promotional opportunities.
4. All personnel actions such as compensation, benefits, transfers, lay-offs, return from lay-off, university-sponsored training, education, tuition assistance, social and recreation programs, will be administered without regard to race, color, sex, national origin, religion, age or disability.

4.11 The Director of Internal Audits

4.11.1 The Director of Internal Audits is responsible directly to the Chancellor. The Director is authorized to have full, free, and unrestricted access to all University functions, records, property, and personnel in carrying out the duties and responsibilities of his position.

4.11.2 The duties and responsibilities of the Director are to:

1. Direct internal audits of the University's financial operations to insure that they are supported by sound business practices and good internal control in accordance with generally accepted accounting and management principles and in compliance with federal, state, and university policies.
2. Serve as an independent control and perform an appraisal activity to insure that fiscal and physical resources of the University are utilized in accordance with statutory and regulatory requirements.
3. Serve as a resource person for information as to the policies and procedures for handling financial transactions as established by the University's Board of Trustees, the University of North Carolina Board of Governors, the North Carolina Utilities Commission, and the General Statutes of the State of North Carolina.
4. Serve as a liaison with the North Carolina State Auditor's Office, the North Carolina State Controller's Office, the North Carolina Utilities Commission, and the University of North Carolina General Administration regarding financial operations of the University.
5. Direct the escheats responsibility for the University and insure that appropriate unclaimed property is escheated to the North Carolina State Treasurer.
6. Management consulting with senior administrators of the University as requested.
7. Perform special projects and duties as assigned by the Chancellor.

4.12 The Director of Personnel Services

4.12.1 The Director of Personnel Services is responsible directly to the Chancellor. Following is a list of duties and responsibilities for this position:

1. Supervise the recruitment and placement of all SHRA personnel.
2. Supervise the areas of classification and pay for all SHRA employees.
3. Administer fringe benefits program for all faculty and staff.
4. Initiate, develop and maintain training programs for employees.
5. Develop and administer programs designed to improve employer/employee relations.
7. Perform special duties or projects as required by the Chancellor.

4.13 The Office of General Counsel

4.13.1 The Office of General Counsel reports directly to the Chancellor and is a Senior Administrator of the University who serves on the Chancellor's Administrative Cabinet.
4.13.2 The following is a list of the duties and responsibilities of the Office of General Counsel:

1. Provide advice and other legal services to the Board of Trustees, the Chancellor and other senior administrative officers.
2. Serve as liaison with reference to legal matters between Appalachian State University and the General Administration of the University of North Carolina.
3. Serve as liaison between Appalachian State University and the Office of the Attorney General of the State of North Carolina when legal matters require the attention of this office.
4. Provide legal education with emphasis on developing knowledge and skills which will enable University personnel to more effectively accomplish their work.
5. Manage the development and revisions of the Appalachian State University Policy Manual.

5 Additional References

6 Authority

7 Contact Information

8 Original Effective Date

March 24, 2005 - Date of oldest file on record.

9 Revision Dates

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