

**ATHENS STATE UNIVERSITY
BOARD OF TRUSTEES
BOARD MEETING
OCTOBER 18, 2019**

The Athens State University Board of Trustees (also referred herein as the Board) held a meeting at 2:30 p.m. on Friday, October 18, 2019 in the Founders Hall Chapel to consider University matters.

PRESIDING: MR. MACKE MAULDIN

The Board of Trustees meeting was called to order at 2:30 p.m. by Mr. Macke Mauldin.

PUBLIC COMMENT

Professor Debra Vaughn, Presiding Officer of the Faculty Senate. Topic: Shared Governance

ROLL CALL

On roll call, the following Board members were present and constituted a quorum to conduct business:

Mr. Jim America
Ms. Crystal Brown
Ms. Cathy Dickens
Mr. Macke Mauldin
Senator Arthur Orr
Dr. Sandra Sims-deGraffenried
Ms. Missy Ming-Smith

Also present were Dr. Philip Way, President of Athens State University and Mr. Shane Black, University Legal Counsel, and Ms. Jackie Gooch, Secretary to the Board. Governor Kay Ivey and Chancellor Jimmy Baker, Ronnie Chronister, and Bill Dunnivant were absent.

APPROVAL OF AGENDA

On a motion made by Dr. Sims-deGraffenried and seconded by Senator Orr, the Board approved the agenda by affirmative votes (7-0) of members present.

APPROVAL OF MINUTES

On a motion made by Dr. Sims-deGraffenried and seconded by Senator Orr, the Board approved the minutes of the July 19, 2019 by affirmative votes (7-0) of members present.

OLD BUSINESS, PENDING MOTIONS AND RESOLUTION

A copy of the October 1, 2015 – September 30, 2018 Audit Report from the Department of Examiners of Public Accounts was provided to the Board. (**Attachment A**)

NEW BUSINESS, PENDING MOTIONS AND RESOLUTIONS

Athens State University Board of Trustees Conflict of Interest Notification and Disclosure (Attachment B)

On a motion made by Senator Orr and seconded by Dr. Sims-deGraffenried, the Board reaffirmed and each individual board member present signed the Conflict of Interest Notification and Disclosure statement for 2019-2020. This motion was approved by the affirmative votes (7-0) of members present.

Athens State University Board of Trustees Roles and Responsibilities (Attachment C)

On a motion made by Senator Orr and seconded by Ms. Dickens, the Board reaffirmed and each individual board member present signed the Roles and Responsibilities statement for 2019-2020. This motion was approved by the affirmative votes of (7-0) of members present.

Board of Visitors Nomination and Appointment (Attachment D)

On a motion made by Senator Orr and seconded by Ms. Dickens, the Board approved the nomination and appointment of the following individuals to the Board of Visitors for a three-year term. College of Education: Christie Finley. College of Arts and Sciences: Ira Lacy. College of Business: Jamie Miller. This motion was approved by the affirmative votes of (7-0) of members present.

ACHE Information Item: COE Certificate-Early Childhood Teacher Assistant (Attachment E)

On a motion made by Senator Orr and seconded by Mr. America, the Board approved the submission of, to the Alabama Commission on Higher Education, the information-only item for the Certificate- Early Childhood Teacher Assistant. This motion was approved by the affirmative votes (7-0) of members present.

ACHE Decision Item: Request for Expansion of Institutional Instructional Role to a Higher Degree Level (Attachment F)

On a motion made by Ms. Dickens and seconded by Senator Orr, the Board approved submission of the Request for Expansion of Institutional Instructional Role to a Higher Degree Level to the Alabama Commission on Higher Education. This motion was approved by the affirmative votes (7-0) of members present.

ACHE Decision Item: College of Arts and Sciences – Liberal Studies Program Title Change (Attachment G)

On a motion made by Ms. Dickens and seconded by Senator Orr, the Board approved the submission of, to the Alabama Commission on Higher Education, the request that the B.S. in Liberal Studies be renamed to a B.S. in Individualized Degree. This motion was approved by the affirmative votes (7-0) of members present.

Adoption of Resolution No. 1-10-18-2019 (Attachment H)

On a motion made by Senator Orr and seconded by Ms. Brown, the Board approved the adoption of Resolution No. 1-10-18-2019 regarding the anticipated expenditures for the Alabama Commission on Higher Education Deferred Maintenance Grant Program. This motion was approved by the affirmative votes (7-0) of members present.

OTHER BUSINESS

Athens State University Family Relationship Disclosure

Provided to the Board of Trustees.

Reaffirmation and Accreditation Update

The Board received a SACSCOC Accreditation update regarding the status of the QEP process.

PRESIDENT'S REPORT

Dr. Way expressed his appreciation for the support he and Mrs. Way have received since arriving at the University. Dr. Way assured the Board that results would be forthcoming on the priorities set by the Board.

REPORT AND CLOSING COMMENTS OF BOARD MEMBERS

Board Committee Updates and Report Acceptance

Enrollment and Student Services – chaired by Mr. Mauldin

Academic Affairs – chaired by Ms. Brown

Finance and Facilities – chaired by Ms. Smith (in the absence of Mr. Chronister)

Development – chaired by Ms. Dickens

On a motion made by Senator Orr and seconded by Ms. Dickens, the Board accepted the Enrollment/Student Services Board Committee report, the Academic Affairs Committee report, the Development Committee report, and the Finance and Facilities Committee reports as presented. This motion was approved by the affirmative votes (7-0) of members present.

ADJOURNMENT

On a motion made by Senator Orr and seconded by Ms. Dickens, Mr. Mauldin adjourned the Athens State University Board of Trustees meeting at 3:07 pm.

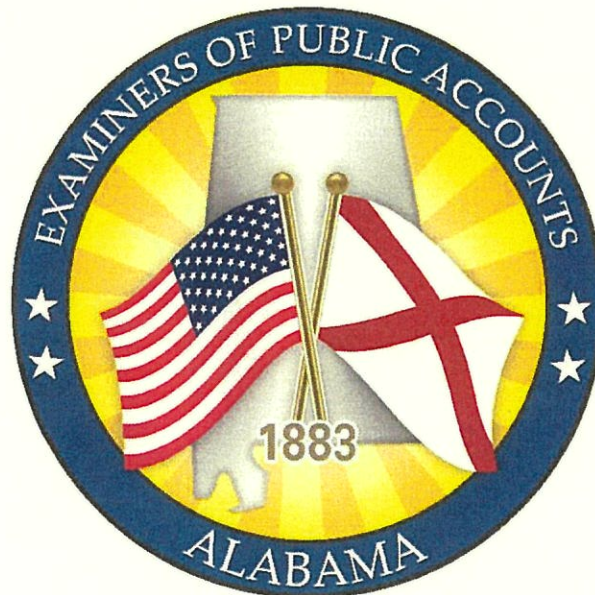
Report on the

Athens State University

Athens, Alabama

October 1, 2015 through September 30, 2018

Filed: September 6, 2019



Department of Examiners of Public Accounts

401 Adams Avenue, Suite 280
Montgomery, Alabama 36104-4338
P.O. Box 302251
Montgomery, Alabama 36130-2251
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Rachel Laurie Riddle, Chief Examiner





State of Alabama
Department of
Examiners of Public Accounts

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Rachel Laurie Riddle
Chief Examiner

Honorable Rachel Laurie Riddle
Chief Examiner of Public Accounts
Montgomery, Alabama 36130

Dear Madam:

Under the authority of the *Code of Alabama 1975*, Section 41-5A-19, as added by Act Number 2018-129, we submit this report on the results of the examination of Athens State University for the period October 1, 2015 through September 30, 2018.

Sworn to and subscribed before me this
the 22 day of August, 20 19.

Kelly D. Matthews
Notary Public

Respectfully submitted,

Peter M. Fisher
Peter Fisher
Examiner of Public Accounts

Sworn to and subscribed before me this
the 22 day of August, 20 19.

Kelly D. Matthews
Notary Public

Tiffany D. Mason
Tiffany Mason
Examiner of Public Accounts

Sworn to and subscribed before me this
the 22 day of August, 20 19.

Kelly D. Matthews
Notary Public

Nathaniel F. Kuykendall
Nathaniel Kuykendall
Examiner of Public Accounts

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Provides basic information related to the University.	
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Department of
Examiners of Public Accounts

SUMMARY

Athens State University
October 1, 2015 through September 30, 2018

Athens State University (the "University") is a publicly supported state University. The University is under the direction and control of the Athens State University Board of Trustees. The University provides three baccalaureate degree options; the Bachelor of Arts degree, the Bachelor of Science degree, and the Bachelor of Science in Education degree, as well as three graduate programs; the Masters in Global Logistics and Supply Chain Management, the Masters in Religious Studies and the Masters in Career and Technical Education. Additional information on the history of the University is included in the Comments section of this report.

The firm CDPA, P.C., Certified Public Accountants conducted the financial audits for the fiscal years ended September 30, 2016, September 30, 2017, and September 30, 2018.

This report presents the results of an examination of the University and a review of compliance by the University with applicable laws and regulations of the State of Alabama in accordance with the requirements of the Department of Examiners of Public Accounts under the authority of the *Code of Alabama 1975*, Section 41-5A-12, as added by Act Number 2018-129.

There were no findings in the prior examination.

The following instance of noncompliance with state laws and regulations and other matters was found during the examination as shown on the Schedule of State Compliance and Other Findings and is summarized below.

- ◆ 2018-001 The University may not have complied with the *Code of Alabama 1975*, Sections 39-1-1(a) and (f) as well as 39-2-2 and 39-2-4, in regards to the advertising requirements for public works projects and obtaining payment and performance bonds.

The University had questionable expenditures in the amount of \$53.52 which were repaid prior to the completion of the examination.

The following officials/employees were invited to an exit conference to discuss the results of this report: Dr. Ronald Ingle, Interim President; Mr. Mike McCoy, Vice-President for Financial Affairs; and Mr. Jonathan Craft, Assistant Vice-President for Finance. The following individuals attended the exit conference: Mr. Mike McCoy, Vice-President for Financial Affairs and Mr. Jonathan Craft, Assistant Vice-President for Finance. Representing the Department of Examiners of Public Accounts were: Mr. Peter Fisher and Ms. Tiffany Mason, Examiners and Ms. Andera Anderson, Audit Manager.



Department of
Examiners of Public Accounts

COMMENTS

**Athens State University
October 1, 2015 through September 30, 2018**

Athens State University is the oldest institution of higher education in Alabama's state educational system. Athens College was founded in 1822 by the citizens of the City of Athens who purchased five acres of land, erected a building and began Athens Female Academy. It was operated as an independent academy until 1843 when the citizens raised \$10,000 to build Founders Hall and the institution was chartered as a four-year college. The founders turned to the Tennessee Conference of the Methodist Church (Athens and all of Alabama north of the Tennessee River was in the Tennessee Conference). When the North Alabama Conference was formed (1870), Athens College became the property of that Conference.

On May 10, 1974, the Board of Trustees requested from the North Alabama Conference of the United Methodist Church that the Institution seek affiliation with the State of Alabama. In June 1974, the Conference authorized the transfer. In June 1975, the College was accepted by the Alabama State Board of Education, and later that year the legislature appropriated funds for the operation of the College to serve the graduates of state junior, community, and technical colleges/institutes. Athens held its first class as a state operated institution on December 4, 1975 with an enrollment of 837 students.

The institution's name has changed several times since its existence. Upon transfer to the Tennessee Conference of the Methodist Church in 1842, the institution became Athens Female Institute. Then in 1889, it became Athens Female College. In 1931, the College became coeducational and was known as Athens College. In 1975, upon entering the state system, it was renamed Athens State College. In March 1981, the Alabama Legislature placed Athens State College and John C. Calhoun State Community College under a single administration. In 1991, the Legislature passed a resolution to re-establish two autonomous administrations at Athens State College and Calhoun Community College. In 1998, the Legislature passed a resolution to rename Athens State College to Athens State University.

In May 2012, Section 16-60-110, *Code of Alabama 1975*, was amended to remove Athens State University from under the jurisdiction, supervision, and control of the State Board of Education and Department of Postsecondary Education; to create and provide for the governance of the University under the Board of Trustees of Athens State University, effective October 1, 2012.

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*Schedule of State Compliance
and Other Findings*

Schedule of State Compliance and Other Findings
For the Year Ended September 30, 2018

Ref. No.	Finding/Noncompliance
2018-001	<p>Finding: The <i>Code of Alabama 1975</i>, Section 39-2-2(a) states, "Before entering into any contract for a public works involving an amount in excess of fifty thousand dollars (\$50,000), the awarding authority shall advertise for sealed bids. If the awarding authority is the state or a county, or instrumentality thereof, it shall advertise for sealed bids at least once each week for three consecutive weeks in a newspaper of general circulation in the county or counties in which the improvement or some part thereof, is to be made."</p> <p>The <i>Code of Alabama 1975</i>, Section 39-1-1(a) states, "Any person entering into a contract with an awarding authority in this state for the prosecution of any public works shall, before commencing the work, execute a performance bond, with penalty equal to 100 percent of the amount of the contract price. In addition, another bond, payable to the awarding authority letting the contract, shall be executed in an amount not less than 50 percent of the contract price, with the obligation that the contractor or contractors shall promptly make payments to all persons supplying labor, materials, or supplies for or in the prosecution of the work provided in the contract and for the payment of reasonable attorneys' fees incurred by successful claimants or plaintiffs in civil actions on the bond."</p> <p>The <i>Code of Alabama 1975</i>, Section 39-2-4(a) states, "The bidder shall be required to file with his or her bid either a cashier's check drawn on an Alabama bank or a bid bond executed by a surety company duly authorized and qualified to make such bonds in the State of Alabama, payable to the awarding authority for an amount not less than five percent of the awarding authority's estimated cost or of the contractor's bid, but in no event more than ten thousand dollars (\$10,000)."</p> <p>The <i>Code of Alabama 1975</i>, Section 39-1-1(f) states, "The contractor shall, immediately after the completion of the contract, give notice of the completion by an advertisement in a newspaper of general circulation published within the city or county in which the work has been done, for a period of four successive weeks."</p> <p>The University failed to properly advertise, failed to obtain proper bonds, and the contractor failed to give notice of completion by an advertisement for the Carter Gym Fire Alarm public works project with a base bid of \$69,352.00 and the College Street Fire Alarm public works project with a base bid of \$55,700.</p>

Schedule of State Compliance and Other Findings
For the Year Ended September 30, 2018

Ref.
No.

Finding/Noncompliance

	<p><u>Finding Continued:</u> The University may not have complied with the <i>Code of Alabama 1975</i>, Section 39-2-2(a) relating to advertising requirements; <i>Code of Alabama 1975</i>, Section 39-1-1(a) and <i>Code of Alabama 1975</i>, Section 39-2-4(a) relating to bond requirement; and <i>Code of Alabama 1975</i>, Section 39-1-1(f) relating to notice of completion.</p> <p><u>Recommendation:</u> The University should ensure compliance with the <i>Code of Alabama 1975</i>, Sections 39-2-2(a), 39-1-1(a), 39-2-4(a), and 39-1-1(f).</p>
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Additional Information

Board Members and Officials
October 1, 2015 through September 30, 2018

Board Members	Term Expires
Hon. Kay Ivey, Governor (Effective 04/10/2017)	Ex-Officio
Hon. Robert Bentley, Governor (Until 04/10/2017)	Ex-Officio
Hon. Jimmy Baker, Chancellor Alabama Community College System	Ex-Officio
Hon. Crystal Brown, Alabama Community College System Board Member	Ex-Officio
Hon. Ronnie Chronister	2022
Hon. Cathy Dickens	2017
Hon. Macke Mauldin	2022
Hon. Arthur Orr, Senator	2022
Hon. Maxine Randolph	2019
Hon. Clint Shelton	2019
Hon. Tazewell Shepard	2017
Hon. Sandra Sims de-Graffenried	2017
Hon. Missy Ming Smith	2024

Board Members and Officials
October 1, 2015 through September 30, 2018

Officials

Dr. Ronald Ingle
(Beginning 07/13/2018)

Interim President

Dr. Robert K. Glenn
(Until 07/13/2018)

President

Mr. Mike McCoy

Vice-President for
Financial Affairs



ATHENS STATE UNIVERSITY
BOARD OF TRUSTEES
RECOMMENDATION FOR ACTION

DATE OF BOARD MEETING: October 18, 2019

ACTION ITEM TITLE: Athens State University Board of Trustees
Conflict of Interest Notification and
Disclosure

RECOMMENDATION:

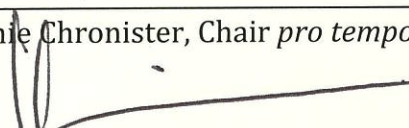
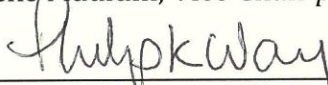
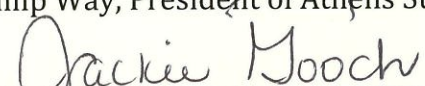
It is recommended that each individual member of the Athens State University Board of Trustees affirm and sign the Conflict of Interest Notification and Disclosure Statement for 2019-2020.

FISCAL CONSIDERATION: None.

RATIONALE:

This affirmation is completed annually to ensure transparency for disclosure of conflict of interest for members of the Athens State University Board of Trustees.

N/A

Ronnie Chronister, Chair <i>pro tempore</i>	Date
	10/18/19
Mack Mauldin, Vice Chair <i>pro tempore</i>	Date
	10/18/19
Philip Way, President of Athens State University	Date
	10/18/2019
Jackie Gooch, Secretary to the Board of Trustees	Date

**Athens State University Board of Trustees
Conflict of Interest Disclosure Form**

In accordance with Article II, Section III, item b. of the Athens State University By-Laws, trustees shall avoid conflicts of interest with the University. Specifically, Trustees should not:

Knowingly participate in discussions or decision-making regarding any item in which the Trustee or his/her family has a personal financial interest.

Advocate or attempt to influence the employment of any of their family members.

Condition any actual or potential business relationship with the Board, the University, or any of its related foundations or associations on a charitable gift or contribution.

Seek or accept personal gifts or special favors from individuals or entities that provide, or seek to provide, services or supplies to the Board, the University, or any of its related foundations or associations, except as those allowed by law.

Use the authority, title, influence, or prestige of his or her position to solicit or influence the award of business to obtain a private financial, social, or political benefit, special privilege, or unique advantage for the Trustee or his family.

Engage in any other activity that a reasonable person would expect to impair the independent judgment of a Trustee in the performance of his or her public duties.

The listing set forth above is not exclusive, and Trustees are expected to discern situations in which their conduct might create a conflict of interest in other respects or contexts. In the event of any potential or actual conflict of interest, such Trustee shall fully and publicly disclose said interest and shall not participate in the discussion, debate, or voting associated with the matter. Disclosure of any situation or circumstances in doubt should be made in order to protect the Trustee and the University. Any such disclosure shall be duly noted in the minutes of the meeting of the Board of Trustees, or its committee at which such disclosure shall be made. The Board of Trustees or any duly charged committee thereof, has the responsibility for ensuring the disclosures required by the subsection, and for enforcing the required non-participation.

Name (Print)

Signature

Date



ATHENS STATE UNIVERSITY
BOARD OF TRUSTEES
RECOMMENDATION FOR ACTION

DATE OF BOARD MEETING: October 18, 2019

ACTION ITEM TITLE: Athens State University Board of Trustees
Roles and Responsibilities

RECOMMENDATION:

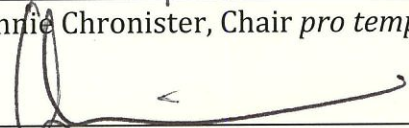
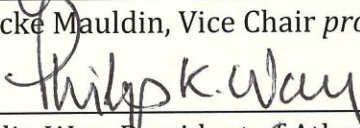
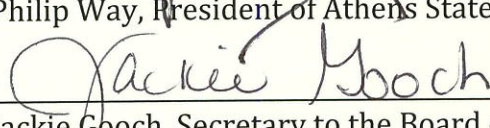
It is recommended that each individual member of the Athens State University Board of Trustees affirm and sign the Athens State University Board of Trustees Roles and Responsibilities for 2019-2020.

FISCAL CONSIDERATION: None.

RATIONALE:

This affirmation is completed annually to confirm each individual Board member's commitment to their role and responsibilities to the Universities.

N/A

Ronnie Chronister, Chair <i>pro tempore</i>	Date
	10/18/19
Macke Mauldin, Vice Chair <i>pro tempore</i>	Date
	10/18/19
Philip Way, President of Athens State University	Date
	10/18/2019
Jackie Gooch, Secretary to the Board of Trustees	Date

**Athens State University
Board of Trustees Responsibilities**

1. Contribute to efforts to sustain University mission, integrity, traditions, and value. Advance initiatives that promote the University and will influence others to be a part of its mission and help realize goals.
2. Recruit, approve, support, and evaluate the University president.
3. Participate in Board committee meetings by preparing and participating effectively and with mutual respect.
4. Protect fiscal integrity, approve the University budget, monitor resources and productivity, and participate in fundraising through personal yearly contributions and advocacy.
5. Participate when feasible in campus activities and act as an engaged member of the campus community.
6. Conduct ourselves in word and action – whether a voting or non-voting trustee – from the perspective that we serve individually and collectively, the whole institution rather than any one part of it, or any individual or group within it or outside of it, or in any partisan or political cause.
7. Be thoughtful in how we represent the University through our actions and words. If apparent grievances or complaints have merit, the President and/or the Board Chair shall be made aware.
8. Support principles of equal opportunity and nondiscrimination for all students, faculty, and staff as well as the University policy statement on diversity.
9. Comply with University conflict of interest policy, including the disclosure requirements.
10. Refrain from asking the President or other University executive or academic officer or staff for special favors on behalf of oneself, family, or friend.
11. Refrain from communicating either orally or in writing with any member of the administration (other than the President), staff, faculty, or student of Athens State University in an individual capacity in language or in a fashion intended to conceal or obstruct directions from the Board of Trustees.
12. Strictly maintain confidentiality of the Board's executive sessions, especially, but not only with respect to sensitive personnel matters.
13. Assist the Board President with strategic direction of the University. Trustees should give advice and share expertise freely, but should also be willing to accept the fact that not all such views will necessarily be adopted.
14. Participate as requested by the Trustee Committee in a self-assessment survey designed to help the committee review our trustee services.

Name (Print)

Signature

Date



ATHENS STATE UNIVERSITY
BOARD OF TRUSTEES
RECOMMENDATION FOR ACTION

DATE OF BOARD MEETING: October 18, 2019
ACTION ITEM TITLE: Board of Visitors Nomination/Appointment

RECOMMENDATION:
It is recommended that the Athens State University Board of Trustees accept, from the President of the University, the following nominees for appointment to the Board of Visitors.

The Board of Trustees appoints these following individuals to serve on the Board of Visitors for the terms specified.

College of Arts and Sciences

Ira Lacy – (3 years) – Principal Cybersecurity Analyst for SAIC

College of Business

Jamie Miller – (3 years) – CEO of Mission Multiplier

College of Education

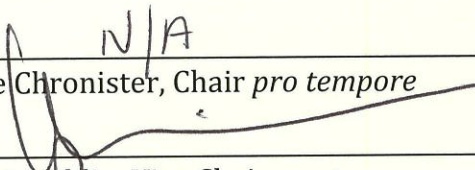
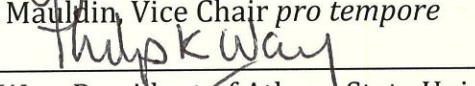
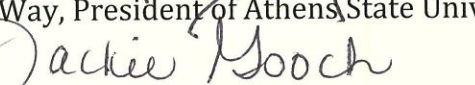
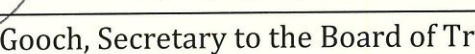
Christie Finley - (3 years) – Superintendent, Huntsville City Schools

FISCAL CONSIDERATION: None.

RATIONALE:

Pursuant to the Board of Visitors Charter approved by the Board of Trustees on April 2014:

Members shall be appointed by the Board of Trustees (by process determined by that Board) on nomination by the President of Athens State University. Members will serve three year terms.

 N/A Ronnie Chronister, Chair <i>pro tempore</i>	Date 10/18/19
 Macke Mauldin, Vice Chair <i>pro tempore</i>	Date 10/18/19
 Philip Way, President of Athens State University	Date 10/18/2019
 Jackie Gooch, Secretary to the Board of Trustees	Date



ATHENS STATE UNIVERSITY BOARD OF TRUSTEES

RECOMMENDATION FOR ACTION

DATE OF BOARD MEETING:

October 18, 2019

ACTION ITEM TITLE:

**ACHE Information Item: COE
Certificate-Early Childhood Teacher Assistant**

RECOMMENDATION:

It is recommended that the Athens State University Board of Trustees approve the submission of, to the Alabama Commission on Higher Education (ACHE), the "information-only" item for the Certificate- Early Childhood Teacher Assistant.

FISCAL CONSIDERATION: See attached.

RATIONALE:

The purpose of this certificate is to provide the opportunity for individuals to simultaneously develop their knowledge and practices in working with preschool children while earning an official certificate in that area.

All documentation is approved by the Athens State University Board of Trustees prior to submission to the Alabama Commission on Higher Education.

<u>N/A</u> Ronnie Chronister, Chair <i>pro tempore</i>	Date 10/18/19
<u>[Signature]</u> Macke Mauldin, Vice Chair <i>pro tempore</i>	Date 10/18/19
<u>Philip K. Way</u> Philip Way, President of Athens State University	Date 10/18/2019
<u>Jackie Gooch</u> Jackie Gooch, Secretary to the Board of Trustees	Date 10/18/2019



Alabama Commission on Higher Education
Form for the Submission of Non-Degree Programs
(Undergraduate and Graduate Certificates)
Senior Institutions

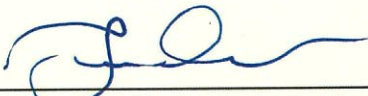
Institution Name: Athens State University

Non-Degree Program/Certificate Title: Early Childhood Teacher Assistant Certificate

CIP Code: 13.1501 - Teacher Assistant/Aide

Award Level: Award < 1 Year Award < 2 Years Award < 4 Years
 Post-Bachelor Certificate Post-Master Certificate

1. Please provide (attach) a Description of the Non-Degree/Certificate program.
2. Please provide (attach) a list all courses in the Non-Degree/Certificate program
3. Please provide (attach) a rationale for the program.

 9/24/19
Signature of Institution's Authorized Representative Date

Dr. Joe Delap, Provost/Vice President for Academic Affairs
Title

Athens State University
Institution



Non-Degree Program (Certificate) Information Summary Form

After approval by the Curriculum Committee and the Provost, these programs require submission to the Athens State University Board of Trustees for approval, then submitted to ACHE as an information item. Implementation of the program can only occur after presentation at ACHE meeting.

For your convenience, this form can be used for submission to Curriculum Committee, Provost/VPAA, Board of Trustee approval, and to the Alabama Commission on Higher Education.

Non-degree (Certificate) Program Title	Associated CIP Code:
Early Childhood Teacher Assistant Certificate	13.1501 Teacher Assistant/Aide

Purpose (Objectives) and Rationale for the Program

The purpose of this certificate is to provide the opportunity for individuals to simultaneously develop their knowledge and practices in working with preschool students while earning an official certificate in that area. The three courses required for this certificate, ER 309 *Early Brain Development*, ER 310 *Principles of Early Childhood Education*, and ER 318 *Literature in Early Childhood Education* would also be applicable to the BSED in Early Childhood Education with certification or the non-certification BSED in Educational Studies, should the candidate choose to pursue those degrees.

Expected Outcomes for the Program:

The Expected Outcomes for this program is two-fold. First, it will provide auxiliary teachers an opportunity for formal development of their knowledge and credibility in working with young children for their optimum development and growth. Secondly, it will add credibility to the numerous facilities (i.e. HeadStart) in employment of individuals with formal certificates in meeting the needs of their students, their students' families, and surrounding communities. This should also make these facilities more viable in receiving funds from the state for their programs.

Minimum grade earned for all courses (if applicable) A grade of "C" or better must be achieved on all required courses.

Other information required for catalog (if applicable) [Click here to enter text.](#)

Courses required in the program:

Course Prefix	Course Description	Semester Hours
ER 309	Early Brain Development (3 Sem. Hrs.) (May be used as a substitution for CHD 209) The purpose of this course is to help students understand how early brain development might be related to changes in cognitive and affective development in young children birth through age 8. Topics will include (1) normal development in infants and toddlers in all domains, physical, social, emotional and cognitive; (2) the history, theory and research on early brain development; (3) biological perspectives on development; (4) the processes of brain maturation; (5) the educational implications of early brain research; (6) brain plasticity; (7) the neurological basis development disorders, and; (8) the effects early experiences have on the development of the young child.	3

ER 310	Principles of Early Childhood Education (3 Sem. Hrs.) This course is designed to provide prospective teachers of young children with the historical, theoretical, and practical issues of early childhood education. Emphasis is on early childhood philosophical and sociological foundations, facets of development, principles of learning, trends and issues, and program models.	3
ER 318	Literature in Early Childhood Education (3 Sem. Hrs.) This course has a two-fold purpose. As a survey course, it is designed to assist preservice teachers in becoming acquainted with the great wealth of trade books available for today's young children. An equally important purpose is to assist pre-service teachers so they may guide young children toward more creative, insightful utilization of literary materials in a classroom setting.	3

If there are electives in this program, list below.		Elective Information:
List number of electives hours allowed:	0 Hours	Choose two (2) of the courses listed below.
Course Prefix	Course Description	Semester Hours
		Total Required Hours: 9 SH



ATHENS STATE UNIVERSITY BOARD OF TRUSTEES

RECOMMENDATION FOR ACTION

DATE OF BOARD MEETING:

October 18, 2019

ACTION ITEM TITLE:

**ACHE Decision Item
Request for Expansion of Institutional
Instructional Role to a Higher Degree Level**

RECOMMENDATION:

It is recommended that the Athens State University Board of Trustees approve the submission of the Request for Expansion of Institutional Instructional Role to a Higher Degree Level to the Alabama Commission on Higher Education (ACHE).

FISCAL CONSIDERATION: See attached.

RATIONALE:

Following ACHE approval, this would allow for the development of additional graduate programs across all three colleges of the University.

All documentation is approved by the Athens State University Board of Trustees prior to submission to the Alabama Commission on Higher Education.

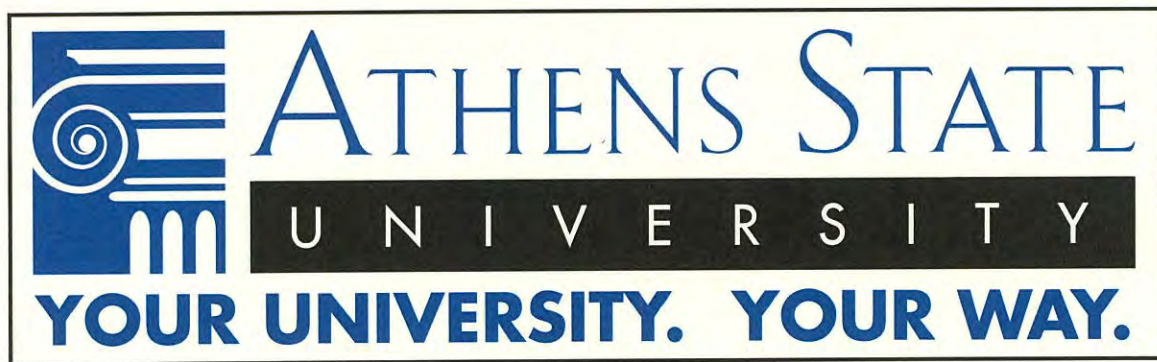
<i>N/A</i> _____ Ronnie Chronister, Chair <i>pro tempore</i>	Date 10/18/19
_____ Macke Mauldin, Vice Chair <i>pro tempore</i>	Date 10/18/19
<i>Philip K. Way</i> _____ Philip Way, President of Athens State University	Date 10/18/2019
<i>Jackie Gooch</i> _____ Jackie Gooch, Secretary to the Board of Trustees	Date



ATHENS STATE UNIVERSITY

**Request for Expansion of Institutional
Instructional Role to a Higher Degree Level**

October 2019



Expansion of Instructional Role

**Prepared for the
Alabama Commission on Higher Education**

October 2019

Dr. Philip Way
President

300 North Beaty Street, Athens, Alabama 35611
www.athens.edu

Application

Request for the Expansion of Institutional Instructional Role to a Higher Degree Level

To be considered for any expansion of instructional role to a higher level, the request must be aligned with applicable State statute recognizing it.

The Commission will use all of the following criteria to evaluate and approve or disapprove requests for expansion of institutional role to a higher instructional level:

1. Successful implementation of three single discipline proposals shall precede a role expansion request

Athens State University has successfully implemented three single discipline graduate programs between January 2016 and August 2017 as outlined in **Table 1**. Individual Post-Implementation Reports are provided for each program at the end of this document.

Table 1
Timeline of Graduate Program Implementation

Program	Implementation Date
M.S. in Global Logistics & Supply Chain Management	January 2016
M.A. in Religious Studies	August 2016
M.Ed. in Career & Technical Education	August 2017

Evidence of Successful Implementation

Since its acceptance into the Alabama postsecondary system in 1975, Athens State University has been authorized by state legislation to serve the needs of upper-level undergraduate students. In 2012, the 1975 Code of Alabama was amended by [Legislative Act 2012-497](#) to remove Athens State University from the jurisdiction, supervision, and control of the State Board of Education and Department of Postsecondary Education, creating an independent Board of Trustees to provide governance for the University. The legislation stated that the overriding mission of the institution would be a university serving the upper-division needs of transfer students. The Act also stated that the University could offer strategic graduate programs approved by the Alabama Commission on Higher Education (ACHE). The change of governance was approved by the Southern Association of Colleges and Schools Commission on Colleges' (SACSCOC) Board of Trustees in June 2014, following a 2013 visit by a Substantive Change On-Site Committee.

Athens State University initially approached the Alabama Commission on Higher Education about a change of instructional role in 2013. The institution also worked with its regional accrediting body, the Southern Association of Colleges and Schools' Commission on Colleges, to seek approval as a Level III institution to award graduate degrees. A detailed description of the approval process for both ACHE and SACSCOC is provided in **Table 2**.

Table 2
Approval Timeline for Graduate Programs

DATE	ACTION	DECISION
November 2013	Request to ACHE for Expansion of Institutional Instructional Role to a Higher Degree Level	June 2014 Not Approved. However, based upon law and ACHE policy, Athens may submit individual Master's program(s) for Staff review and Commission consideration.
November 2013	Notice of Intent to SACSCOC to request approval for a level change from a Level II to a Level III degree-granting institution	COC accepted notification with a request to submit an Application for Level Change December 2013
April 2014	Proposal for first graduate program, M.S. in Global Logistics & Supply Chain Management, presented to University's Board of Trustees	Approved April 2014
August 2014	Full program proposal for M.S. in GLSCM submitted to ACHE	Approved December 2014
December 2014	Comprehensive Application for Level Change submitted to SACSCOC	April 2015: Acceptance of request and notification of SACSCOC Board of Trustees action in June 2015
April 2015	Proposal for M.A. in Religious Studies program presented to University's Board of Trustees	Approved April 2015
June 2015	SACSCOC Board of Trustees awarded membership at Level III effective January 2016	SACSCOC authorized a Substantive Change Committee to visit campus in early 2016
February 2015	Full program proposal for M.A. in Religious Studies submitted to ACHE	Approved June 2015
October 2015	Proposal for M.Ed. in Career & Technical Education program presented to University's Board of Trustees	Approved October 2015
February 2016	Proposal for M.Ed. in Career & Technical Education program submitted to ACHE	Approved June 2016
March 2016	SACSCOC Substantive Change Committee visit (March 1-3)	Committee Report contained NO Recommendations and forwarded report to SACSCOC Board for action
June 2016	SACSCOC Board of Trustees reviewed Substantive Change Committee Report	Confirmed membership at Level III June 2016
October 2016	Submitted Substantive Change Prospectus to SACSCOC for M.A. in Religious Studies program	Approved February 2017
January 2017	Submitted Substantive Change Prospectus to SACSCOC for M.Ed. in Career & Technical Education	Approved September 2017

Over an 18-month timeframe, Athens State University successfully implemented three individual single discipline graduate programs. Each of these programs were carefully researched and designed to provide students with critical skill sets to meet regional workforce needs. Enrollment trends in all three programs reflect the demand for these skill sets and demonstrate steady growth. **Table 3** reflects the enrollment history of graduate program enrollment and credit hour production since implementation.

Table 3
Graduate Program Enrollment & Credit Hour Production

Graduate Program	Academic Year						
	2015-2016	2016-2017		2017-2018		2018-2019	
	#	#	% change	#	% change	#	% change
All Graduate Students							
Annual Graduate Program Headcount*	9	46	411.1%	179	289.1%	208	16.2%
Graduate Course Credit Hour Production	84	552	557.1%	2,331	322.3%	2,298	-1.4%
College of Arts and Sciences							
Annual Graduate Program Headcount	N/A	17	N/A	21	23.5%	22	4.8%
Graduate Course Credit Hour Production	N/A	168	N/A	276	64.3%	225	-18.5%
College of Business							
Annual Graduate Program Headcount	7	25	257.1%	61	144.0%	57	-6.6%
Graduate Course Credit Hour Production	84	384	357.1%	864	125.0%	666	-22.9%
College of Education							
Annual Graduate Program Headcount	N/A	N/A	N/A	91	N/A	123	35.2%
Graduate Course Credit Hour Production	N/A	N/A	N/A	1,191	N/A	1,407	18.1%
Non-Degree Graduates							
Annual Graduate Program Headcount	2	6	200.0%	6	0.0%	7	16.7%

*Totals include students who may have converted from Non-Degree to Degree-Seeking during the year
Source: Athens State University Official Data Warehouse

2. The institution's mission

Following approval of Athens State University's first graduate program by the Alabama Commission on Higher Education in December 2014, the President tasked the Strategic Planning Committee, a regularly functioning University Committee with representation from faculty, staff, administrators, and students, with the responsibility of reviewing the mission statement in accordance with anticipated program changes. As a result of Committee deliberations and recommendations, the mission was expanded to recognize the University's role in delivering high-quality undergraduate and select graduate programs. The revised mission statement was approved by the Faculty Senate in February 2015 and the University's Board of Trustees affirmed the new mission at the April 2015 meeting. The **Mission Statement** is reviewed annually and published on the University's website and in both the Undergraduate Catalog and the Graduate Catalog.

"The University advances the best interests of its students and the State of Alabama through teaching, service, research and other creative activities to empower students to make valuable contributions in their professional, civic, educational, and economic endeavors. Through innovative communication and course delivery for high-quality undergraduate and select graduate programs, Athens State University provides a supporting environment for each student, demonstrating the importance of the diverse and interdependent nature of our state and society. Athens State University changes the face of Alabama by changing the lives of its students."

The University is a unique public upper-division institution offering coursework at the junior/senior level. Legislative Act 2012-497 states that the "overriding mission" of the institution is a "university serving the upper division needs of transfer students." The University's **Vision Statement** supports this unique status:

"Athens State University will be the premier destination for transfer students seeking the highest quality education and cutting-edge delivery at the most affordable cost. As the upper-division university in Alabama, building on a tradition that began in 1822, Athens State University will be the catalyst for positive change in the lives of its students."

3. Institutional readiness (defined as faculty credentials, financial resources, and institutional commitment)

Institutional Commitment

Athens State University has demonstrated institutional commitment to successful implementation of graduate education through a number of internal processes. This section describes the activities associated with the addition of graduate level programs at Athens State University. It also provides information on how those changes have impacted the daily operations of the University and presents data and information that supports the institution's request for a change in instructional role.

Educational Programs

As a public upper-division institution, Athens State University offers upper-division coursework leading to baccalaureate degrees in 34 programs and master's degrees in 3 programs. All baccalaureate degree programs require a minimum of 120 semester credit hours for completion. All graduate programs require a minimum of 30 semester graduate credit hours for completion. The institution uses the semester hour as the unit of measure for all coursework offered at the undergraduate and graduate level.

Each of the degree programs offered by the University is compatible with the institution's primary mission in that each program is designed to incorporate academic credit earned by students from the state's community colleges and other institutions into the requirements for the particular degree program. In accordance with the State of Alabama's General Education Articulation requirements each program consists of a specific general education core, pre-professional or prerequisite courses that may be taken at the community college or at other accredited institutions, and required major or professional courses that are taken at Athens State University.

As part of the University's preparation for this change in instructional role, the Provost/Vice President for Academic Affairs appointed a Graduate Implementation Team with a charge to provide broad-based input and guidance related to policies and procedures as the institution implemented coursework at the graduate level. This included a review of existing University policies and procedures as well as

recommendations for additional policies, procedures, and guidelines to facilitate a smooth transition for students and University personnel. As part of this implementation team, the Curriculum & Faculty Development Project Team was charged with serving as the inaugural Graduate Council and the Provost/Vice President for Academic Affairs currently serves as the Graduate Dean.

Athens State University assigns responsibility for program coordination, curriculum development and review to individuals academically qualified in the field. Curriculum is developed by faculty with content area-specific credentials. Course syllabi containing an outline of the course goals, student learning outcomes, curriculum, assessments, policies and procedures must be reviewed and approved by faculty in the appropriate department.

The University's program development process involves both external and internal guidelines and processes to ensure coherent courses of study. Externally, all programs must be approved by ACHE and adhere to the Commission's criteria including evidence that the proposed program is within the recognized role of the institution. Additional ACHE criteria include:

- ✓ Need for the program
- ✓ Collaboration
- ✓ Program Objectives and Content
- ✓ Student Availability and Demand
- ✓ Program Completion Requirements
- ✓ Institutional Context
- ✓ Program Administration
- ✓ Accreditation
- ✓ Resources to Support the Program
- ✓ Financial Support
- ✓ Distance Education Technology
- ✓ Program Viability

The University's current Academic Inventory ([Appendix 1](#)) as approved by ACHE reflects that all 34 baccalaureate degree programs and all 3 graduate programs successfully meet all these criteria. Additionally, all degree programs adhere to the SACSCOC *Principles of Accreditation* and have been approved by the Commission on Colleges.

Athens State University has a clearly defined internal process for curriculum development and review, including the evaluation and approval of new degree programs. The departmental faculty, Department Chair and the College Dean must demonstrate the relationship between a proposed program and the mission and goals of the College and the University, the need and demand for the new program, and the expectations for student learning outcomes, assessment methods, and other considerations. To be approved, a new program proposal requires approval from the Department Chair, College Dean, the University Curriculum Committee (a standing committee of the University's Faculty Senate), the Provost/Vice President for Academic Affairs, and the University President and the Board of Trustees. Externally, once approved by internal stakeholders, proposals are submitted to ACHE and, when appropriate, the Commission on Colleges for review and approval.

The University follows internal and external processes to ensure organization and cohesiveness. These processes ensure that the coursework and programs offered at Athens State University are appropriate and comparable to similar programs at other institutions of higher education. To ensure that graduate curriculum is embedded into the University's existing curriculum review process, the review and approval process was amended to include any new graduate courses and programs. All curriculum is vetted through one of the standing committees of the Faculty Senate. The current process is provided as [Appendix 2](#).

Distance Learning and Program Content

In compliance with the Southern Association of Colleges and Schools Commission on Colleges' policy statement regarding Distance and Correspondence Education, Athens State University ensures that all degree programs offered through distance learning embody a coherent course of study that is compatible with the institution's mission and are based upon fields of study appropriate to higher education. The University addresses the delivery of instruction via distance education through the [Distance Learning Policy](#) to assure high quality in the delivery of distance learning courses with regard to instruction and procedures.

The Distance Learning Policy addresses a number of components of distance learning including institutional effectiveness, curriculum and instruction, faculty, Library and learning resources, student services and resources. Specific to program content, the policy ensures that distance learning courses are comparable to traditional, campus-based courses in terms of course descriptions, expectations and learning outcomes.

Additionally, the policy provides that faculty are responsible for the course content, delivery of instruction, evaluation of student progress, assessing learning outcomes, and timely communication in a distance learning course. Like all academic activities, distance learning at Athens State University operates under the purview of the Office of the Provost/Vice President for Academic Affairs. The University's Curriculum Committee reviews all courses to be offered at the University as required by the curriculum review process. Athens State University adheres to the requirement that all courses of the same prefix and number will have the same learning outcomes and level of rigor, regardless of delivery mode. The approval of new distance learning courses is the same as that for any new course; however, proposals for distance learning courses should take the special needs of the delivery mode into consideration during the course design process.

Institutional Credits for a Graduate Degree

Athens State University ensures that at least one-third of the credits applied toward a graduate degree are earned through instruction offered by the institution. The University addresses this requirement through internal policies including the [Transfer and Acceptance of Academic Credit policy](#) and the [General University Requirements for Graduation policy](#). These policies are published on the University's [website](#) and in the [Graduate Catalog](#).

Definition of Credit Hours

Athens State University uses sound and commonly acceptable practices for determining course credit for all courses and programs offered by the University. The University's [Determination of Credit Hours Policy](#) establishes the minimum standards related to the conversion of instructional time to credit hour equivalencies. Related operating policies, most notable the [Distance Learning](#) and [Academic Calendar and Class Scheduling](#) policies provide numerous guidelines and procedures for ensuring that credit hours awarded for courses and programs are consistent and conform to recognized best practices in higher education.

Admissions and Transfer of Credit

The request for change in instructional role will not affect the University's status as a public upper-division institution, so the change will not affect the University's requirements for undergraduate admission. Due to the advanced nature of graduate-level programs, different requirements and standards are used for admission to graduate programs at the University. The requirements and standards are based on comparable practices at other institutions of higher education that offer programs at the graduate level. These requirements are included in the University's [Admissions Policy](#).

In early 2019, the University implemented an [Accelerated Enrollment Policy](#) to allow undergraduate students to apply for early admission to a specific graduate program. This allows the undergraduate student to enroll in a maximum of twelve (12) hours of graduate coursework. Enrollment in courses in a given term may be subject to space availability and/or cohort restrictions. If completed successfully, the graduate courses may be substituted for specific course requirements in the student's undergraduate degree program. The courses will also fulfill the appropriate graduate program course requirements upon admission to the graduate program. Enrollment in graduate courses does not constitute acceptance into a graduate program. Students will still be required to fulfill all admissions requirements for the specific graduate program.

To support the graduate admissions process, the University purchased additional licenses for specialized software (Extender). This provides program faculty and support staff the ability to provide timely assistance to program applicants.

The University's [Transfer of Acceptance of Academic Credit Policy](#) underwent a thorough review as a consequence of the addition of the University's first graduate program and the associated level change. Input was received from the academic areas associated with any future graduate programs, and proposed revisions were then reviewed by the Faculty Senate and the President's Administrative Council before approval by the President. Policies related to the acceptance of credit are published online in the Policy Library, available to all interested parties, and in the current Undergraduate and Graduate Academic Catalogs.

For undergraduate students, Athens State University accepts and articulates transfer credit with passing grades (D or higher) from institutions that are accredited by one of the six regional accrediting bodies recognized by the U.S. Department of Education (DOE). Transfer coursework with failing or unsatisfactory grades is also articulated for financial aid and overall grade-point-average purposes.

Graduate transfer credit from a regionally accredited institution is only articulated to the Athens State University transcript for use in an Athens State University graduate program after review and approval from graduate program faculty using the Curriculum Adjustment Process. As with undergraduate credit, the transfer graduate credit is reviewed to ensure the content and level of instruction of the transfer coursework are equivalent to similar coursework offered at Athens State University and required for the graduate degree program.

Learning Resources and Services

Athens State University provides facilities and learning/information resources that are appropriate to support its teaching, research and service mission. The University supports its commitment to providing library services and learning resources that support the institutional mission. All Athens State University students, faculty, and staff have full access and user privileges to the facilities and to the physical and electronic collections and services of the Library. All electronic resources are available off campus to students and faculty through proxy server identification via the Library web site.

The Library's physical holdings, when supplemented by network agreements and electronically accessible materials, provide adequate to excellent support for all degree programs of the institution. The Library's mission reflects the institutional goal of providing and maintaining appropriate learning resources which support student learning, quality teaching, scholarly research, diversity, and technological proficiency. The Library also strives to provide services that support the University's mission to prepare students for professional careers, graduate school, lifelong learning, and which provide for personal and public enrichment.

To support and enhance specific skills related to the academic success of students, the institution provides additional learning resource services/labs across the University including the Mathematics and Elementary Computer Program Lab, the Accounting Lab, and the Statistics Lab. Additionally, the University's Writing Center provides a wide variety of services to students and faculty and is centrally located on the Library's first floor. Students can request face-to-face or online consultations with Peer Tutors.

Student Support Services

Athens State University provides a number of student support programs, services and activities consistent with the University's mission that are intended to promote student learning and enhance the development of all students. These are consistent with the institution's mission and goals and are appropriate to the institution's unique status as an upper-division university.

Athens State University prides itself on serving a unique population of students. The Fall 2018 Student Profile reflects the non-traditional nature of the students the University serves. Sixty-eight percent (68.4%) of students were female, average age of 30.7 years. Almost sixty percent (59.6%) of students attend on a part-time basis. The racial composition of the student body is 74% White and 26% minority. More than 92% of students took at least one distance learning class during the Fall 2018 semester. Additional demographic data shows that more than sixty percent received some form of financial assistance including federal, state, and/or institutional funding sources.

The University's distinctive mission as an upper-division institution means that all incoming students bring some college credit with them. The major feeder for the institution is the Alabama Community College System. Fall 2018 data reflects that out of the 708 new undergraduate students admitted, 402 (56.8%) transferred from five of the community colleges within the State. The top ten feeder schools are listed in **Table 4**.

Table 4
Fall 2018 Top Feeder Schools
(most recent previous college for new undergraduate students)

Transfer College	% of New UG Students
Calhoun Community College	31.1%
Wallace Community College-Hanceville	9.2%
Snead State Community College	6.4%
Northwest Shoals Community College	5.5%
Northeast Alabama State Community College	4.7%
University of Alabama in Huntsville	3.1%
Bevill State Community College	2.4%
University of North Alabama	2.3%
Jacksonville State University	2.1%
Motlow State Community College (TN)	1.3%

Source: University Fact Book, March 2019

Because of its unique student population, Athens State University recognizes the importance of accessible and meaningful support services to all students, regardless of location or delivery mode. Recognizing that a variety of services may serve to enhance the educational experiences of students, the University primarily defines student support services within two categories based on their support of academic or non-academic activities. All administrative and academic departments work together to

furnish the services necessary to promote and enhance student learning experiences and promote the individual welfare of students.

Graduate Orientation

In July 2016, the University conducted a focus group meeting with all of the students in the new M.S. in GLSCM program. Focus group participants were asked to provide feedback regarding their experience in the new graduate program. The information gathered from this meeting was used to develop an orientation program specifically for graduate students. Since then, additional focus group events have been hosted for graduate students and their feedback is used for ongoing program improvement.

The Inaugural Graduate Orientation Program was held in August 2016 and included students from the first (January 2016) cohort and from the second cohort (August 2016-17), as well as the first students enrolled in the M.A. in Religious Studies program.

The events activities included a General Orientation Session, an Information Fair with booths for a number of University offices/functions to assist students. Booths were staffed with University personnel representing the Student IT Help Desk, Veteran's Affairs, Alumni Affairs, Career Development Center, Disability Services, Business Office/Student Accounts, Student Clubs, the University Writing Center and the University Library. Following the General Session and the Information Fair, students attended a program-specific Orientation hosted by their program's faculty. The General Session and the program-specific Sessions were videotaped by the Academic Technology Services Department. Each student enrolled in one of the graduate programs was emailed a copy of all event handouts and a link to the sessions in case they were unable to attend.

This Orientation event was repeated in August 2017 for the next cohort of students in the GLSCM program, new students in the MA in Religious Studies program, and students enrolled in the University's third graduate program, the M.Ed. in Career and Technical Education program. Orientation activities are now conducted each year with virtual attendance options available for those students who cannot physically travel to campus.

Institutional Effectiveness and Assessment

Athens State University is committed to planning, assessment, and continuous improvement by implementing a cyclical and participative process that meets the institutional effectiveness and assessment standards required by SACSCOC and other applicable accrediting or regulatory organizations. As outlined in the [*Institutional Assessment and Program Review Policy*](#) the University employs assessment and review processes that authentically measure the work of the institution toward achieving its mission.

The assessment of graduate curriculum and associated student learning outcomes is governed by the [*Institutional Assessment and Program Review Policy*](#) and will be conducted following the procedures and timeframes outlined in the University's Outcomes Assessment System. This evaluative process is systematic, integrated, and is a vital part of the ongoing institutional effectiveness model.

Like any other academic degree program at the institution, graduate program assessments focus on the formulation and measurement of student learning outcomes. However, additional outcomes associated with the overall performance of each program but not directly connected to learning, namely program-operational outcomes, are also formulated and measured.

Responsibility for the formulation and evaluation of learning outcomes fall on the program's graduate faculty, in coordination with the Graduate Faculty Council and the Provost/Vice President for Academic

Affairs. The Office of Institutional Research and Assessment is responsible for the coordination of assessment activities and data analysis.

Several focused Project Teams were developed within the Graduate Implementation Team to address various activities. One of those teams, the Curriculum and Faculty Development Project Team, reviewed best practices among peer institutions related to student learning outcomes and program assessment. This team now serves as the Graduate Faculty Council and the Provost/Vice President for Academic Affairs serves as the Graduate Dean.

Recognizing that the rigor of a graduate education commands more than the acquisition of basic knowledge, the Team developed a broad-based set of Fundamental Areas representing the transformative nature of a graduate education to serve as a framework for program-specific learning outcomes. These Fundamental Areas were affirmed by the University's Faculty Senate in October 2015 as part of the [*Graduate Programs Outcomes Assessment Framework*](#).

These Fundamental Areas were used to develop a series of learning outcomes within each area that could be customized to represent the unique perspective of each graduate program. Descriptors associated with each fundamental area illustrate the types of learning outcomes that a program may use. They are neither prescriptive or exhaustive. Outcomes can be modified and/or new ones added as needed by each additional graduate program.

Every graduate program will be required to formulate and publish graduate-level student learning outcomes based on the Fundamental Areas discussed above. Each program must implement these outcomes in the faculty-developed Annual Assessment Plan at the beginning of the academic year, and report results through the Annual Assessment Report. Action Plans must be submitted as needed based on assessment findings. The Office of the Provost, with input from the Graduate Faculty Council and recommendations from the Office of Institutional Research and Assessment may specify other requirements to support useful assessment and meet accreditation standards.

Faculty Credentials

Athens State University has a long history and strong reputation as a teaching institution. The University is proud of its reputation for academic quality and excellent, caring faculty. Faculty support the University's mission of providing student-centered, quality education and are committed to the success of students and the University. This commitment involves quality teaching, advising, and communication.

Athens State University adheres to the Southern Association of Colleges and Schools Commission on Colleges' guidelines for faculty credentials. The University's Curriculum and Faculty Development Project Team, as part of the larger Graduate Implementation Team, reviewed best practices among peer institutions along with accreditation requirements and developed graduate faculty credential guidelines. These guidelines were affirmed by the Faculty Senate and the University's Administrative Council and are included in the [*Faculty Credentials Policy*](#). This policy ensures that all faculty (both full and part-time) meet or exceed the necessary qualifications to teach courses within their respective disciplines and to ensure compliance with all accrediting bodies.

The Faculty Credentials Policy requires that all faculty teaching undergraduate courses should (1) possess a master's degree or doctorate degree regardless of how many graduate hours they have earned and (2) have completed an appropriate amount of graduate coursework in the discipline they will teach. For faculty members whose graduate degree is not in their teaching field, they must have earned at least 18 semester hours of credit in the teaching field.

All faculty teaching graduate coursework must possess an earned doctorate or terminal degree in the teaching discipline or a related discipline. In addition, graduate faculty are expected to maintain currency within their discipline through research and/or creative activity. Graduate faculty must provide compelling evidence of professional qualifications such as licensure and certifications, continuous documented excellence in teaching, honors and awards, scholarly publications and presented papers, or other demonstrated competencies and achievements that contribute to effective teaching and student learning outcomes. The Faculty Credentials Policy provides guidelines for these expectations. The Policy also addresses criteria for the selection as a graduate faculty member. This determination is managed by the Provost/Vice President for Academic Affairs who also serves as the Graduate Dean.

Fall 2018 data reflects that 82.6% of full-time faculty hold a terminal degree. A complete listing of all faculty teaching at the graduate level and their credentials is provided in [Appendix 3](#).

Financial and Physical Resources

Athens State University has a sound financial base and a proven record of financial stability as demonstrated in the audited financial statements for FY 2016 through FY 2019. These documents demonstrate that Athens State University's financial resources are sufficient to support the existing academic programs and support services as well as graduate level instruction. The institution's financial stability continues to allow it to maintain its physical and technology infrastructure to support the University's mission.

The Office of Financial Affairs is committed to ensuring strong financial management as outlined in the Financial Management Policy. The University's financial accounting practices and procedures, as outlined in the Accounting and Finance Policy, follow the generally accepted accounting principles of Fund Accounting as prescribed by the National Association of College and University Business Officers (NACUBO) the American Institute of Certified Public Accountants (AICPA) and the Financial Accounting Standards Board (FASB). All audits for fiscal years 2016 through 2019, conducted in accordance with generally accepted auditing standards, earned "Unqualified Opinion", meaning that the financial statements accurately present the financial position of the University.

In addition, Athens State University has consistently complied with all federal regulations related to the administration of Title IV federal financial aid programs. The University has been approved to participate in all federal aid programs and recertified as required without exception or delay. The University submits all federal financial aid reports in a timely fashion, receives annual allocations of Title IV Campus-Based Aid funds from the Department of Education, and is audited as required to ensure administrative responsibility and appropriate cash management capabilities. The University's most recent *Fiscal Operations Report and Application to Participate* (FISAP) and the *Program Participation Agreement* (ECAR) show that Athens State University is in compliance with all Title IV responsibilities and continues to be eligible to participate in Title IV programs. Both of these documents are provided as [Appendix 4](#) and [Appendix 5](#).

The original program proposals submitted to ACHE included data on estimated new funds required to support the program, sources and amounts of new funds expected to be generated, and projected revenue. A graduate tuition rate of \$325 per semester hour was used in these calculations. In 2019-2020, this rate has increased to \$340 per semester hour, which is the current rate. **Tables 5, 6, and 7** provide a summary of financial data including the original projections and actual current costs and revenue. An annual breakdown for each program is available as [Appendix 6](#).

Table 5

M.S. in Global Logistics & Supply Chain Management Financial Projections and Results (5 years)		
	Projected	Actual
Revenue	596,700.00	814,272.00
Expenses	788,759.00	683,577.74
	(192,059.00)	130,694.26

Table 6

M.A. in Religious Studies Financial Projections and Results (4 years)		
	Projected	Actual
Revenue	552,825.00	240,825.00
Expenses	350,027.00	143,280.00
	202,798.00	97,545.00

Table 7

M.Ed. in Career & Technical Education Financial Projections and Results (3 years)		
	Projected	Actual
Revenue	152,100	1,003,422.00
Expenses	100,800.00	803,518.77
	51,300.00	199,903.23

Athens State University maintains an adequate and well-maintained physical plant to support the mission of the institution. The University strives to achieve a balance in its physical facilities that preserves the historical footprint of the campus while providing and improving the infrastructure and technology to support the University's program and support services.

The University maintains and utilizes a variety of buildings and ground space on campus that provide the physical resources necessary to meet the needs of education programs, student support services, and faculty and staff. As a part of its mission and goals, the University is continually making efforts to improve its buildings, ground space, parking and lighting, and other physical resources to improve accessibility to historical buildings, to provide technology, such as wireless local area networks (WiFi), and to maintain a safe and aesthetically pleasing environment.

In compliance with the SACSCOC policy statement regarding Distance and Correspondence Education, Athens State University operates and maintains physical facilities, both on and off campus, to serve the needs of the institution's educational programs and support services. The University addresses the distance learning support services and infrastructure through the Distance Learning Policy. Athens State University provides the necessary equipment, software and facilities to effectively

deliver asynchronous, synchronous and blended courses. Video conferencing rooms are available to fully deliver site-to-site courses, if needed.

Currently, coursework for graduate programs is offered online. Athens State University makes extensive use of technology commonly used in higher education to deliver online programs. The institution's current learning management system is Blackboard Learn®. All courses must be placed on the University's learning management system, whether online, blended or traditional. Synchronous online classes are provided through the use of Blackboard Collaborate™. The use of these tools allows for real-time chats, collaborative discussions, and proctored online testing. Recently, the University purchased an additional tool, HonorLock®, as an online proctoring solution. The University uses these technologies to support both synchronous and asynchronous course content delivery that extends the flexibility and value of the online instructional delivery model while maintaining a high-level of quality and enhancing the student learning experience.

4. Rationale for the expansion to a higher instructional level

Athens State University has been interested in offering graduate programs that will meet the needs of the state and region for a number of years, particularly those that can build on the strengths of the institution's established baccalaureate programs.

In the Spring of 2009, Dr. Robert Glenn, the relatively new President of Athens State University, commenced a long-range planning initiative for the institution. The subsequent endeavor, Vision 2020, was created primarily to produce a list of goals that would guide critical decision-making at the University between 2010 and 2020. Dr. Glenn viewed Vision 2020 as an opportunity for the University community to work openly and collectively to chart its future. Responsibility for Vision 2020 was assigned to a 27 voting member committee representing faculty, staff, students, the Alumni Association, community leadership in the public and private sectors, and the University Foundation.

The final report of the Vision 2020 team was presented to Dr. Glenn in the Fall of 2010. Cumulatively, the report included 14 goals and recommendations. Two of these focused on the University:

- Expanding its activities beyond undergraduate classroom instruction to initiate plans for select post-baccalaureate programs, and
- Developing a small number of graduate programs that are not duplicative of current offerings in the Tennessee Valley region of North Alabama.

In 2012, the 1975 Code of Alabama was amended by Legislative Act 2012-497 to remove the University from the jurisdiction, supervision, and control of the State Board of Education and Department of Postsecondary Education. This change also created an independent Board of Trustees to provide governance for the University. The legislation stated that the "overriding mission" of the institution would be a "university serving the upper division needs of transfer students." The Act also provided for the University to offer strategic graduate programs that meet the needs of the region and state and are approved by the Alabama Commission on Higher Education. This change in governance was approved by the SACSCOC Board of Trustees in June 2012, following a 2013 visit by a Substantive Change On-Site Committee.

Following the Change of Governance, the institution's administration reviewed institutional strengths, including academic programs, and recognized the consistent request from alumni and the Athens State community to offer graduate programs. Both alumni and community leaders suggested Logistics, Religious Studies, and Technical Education as potential graduate programs that would meet the unique and strategic goals of the University as well as state and regional workforce needs.

Approval of a change of instructional role would not create an academic or financial environment that would be disruptive for the University. Any new master's degree programs would follow ACHE's current approval process and would also involve SACSCOC approval. These processes require considerable time that would lend itself to proper academic and financial preparation by the University.

Athens State University has a rich history of serving the underserved. The institution educated young women in its earliest years long before many universities even considered admitting women. Our mission over the years, like every other higher education institution, has evolved and progressed with the needs of our citizens. We serve a distinct demographic. Often these students are faced with financial and family obligations that impact their education. They deserve higher education opportunities that are affordable and flexible. The University's request for a Change of Instructional Role will allow the University to further serve these students.

5. Relationship of the requested role expansion to the state's strategic needs, educational goals, and priorities

The *Alabama Commission on Higher Education Strategic Plan (2018-2030)* provides a framework and rationale for a comprehensive Human Capital Plan for the state of Alabama. This framework includes five priorities designed to drive a focused effort to equip all Alabamians with the essential skills needed to succeed in the modern economy. These priorities include:

1. Improving Access
2. Enhancing Student Success
3. Enhancing STEM Program
4. Developing Alabama's Economy and Workforce
5. Organizational Effectiveness and Efficiency

Alabama's Governor and the Educational Attainment Committee have recommended the goal of adding 500,000 highly-skilled employees to Alabama's workforce by 2025. The *Success Plus Plan* adds that this goal "equates to roughly 60 percent of the state's working age population holding some type of certificate, credential, or degree".

According to the Plan, "in today's credential and skill-based economy, additional opportunities for institutional collaboration and necessary duplication of high-demand programs will need to be increased" (p. 10). This can most clearly be evidenced by the growing number of logistics and career and technical education graduates being produced by peer institutions throughout the State. The number of graduates from these programs has not yet reached the projected job openings.

Athens State University's request for a Change in Instructional Role will allow the institution to strengthen its ability to support these statewide educational priorities.

6. No substantive needless role duplication with other Alabama Public Universities [Refer to Alabama Code 16-5-8(4)(b)]

The rapidly evolving workforce needs of the North Alabama area continue to reveal pockets of need. Athens State University will continue to offer programs of study that meet a strategic need for the North Alabama region. Future graduate programs will be developed in response to employer and student demand with careful attention to existing programs at peer institutions.

7. Justification of having no anticipated/projected adverse influence on enrollments at public institution(s) already having that role [as determined by the Academic Program Inventory CIP Code(s)], particularly those within 50 miles of the proposing institution or within that service area

The first three graduate programs developed and implemented by the University were carefully researched to ensure sufficient demand and prevent any adverse influence on the enrollments at sister institutions with similar programs.

The graduate program in Global Logistics and Supply Chain Management is offered by only two institutions within the state of Alabama: Athens State University and the University of Alabama in Huntsville (UAH). Program vitality data available from ACHE reflects that both programs have produced a total of 56 graduates since 2016. Athens State has produced 19 and UAH has produced 37 graduates. Based on job growth projections for the north Alabama area, there is a significant need for senior logistics professionals with at least 75 job openings annually due to growth and replacement needs. The Huntsville metropolitan area is ranked fifth in the nation with the highest employment level in the logistics occupation and the second with the highest concentration of logistics jobs. (*Source: Bureau of Labor Statistics and the Alabama Department of Labor*)

The graduate program in Religious Studies is also offered by only two institutions within the state: Athens State University and the University of Alabama. Program vitality data shows that both programs have produced a total of 2 graduates since 2016. According to O*Net Online, "the most significant source of postsecondary education or training [for clergy] is a Master's degree." The national projections provided by the Bureau of Labor Statistics are under the category of religious activities and education. The BLS predicts average job growth for all clergy members, including preachers. The job openings in this particular field will also be impacted by a large number of vacancies created by retirements. Most openings will be available with congregations in small, rural areas. Clergy trying to secure bigger congregations in an urban setting will face the toughest competition.

Athens State University and Auburn University are the only two institutions within the state that offer a graduate program in Career and Technical Education. Auburn University's program is offered in a traditional format on the main campus and ACHE program vitality data reflects that 168 students have completed Auburn's program in the past 3 years. Athens State's program was implemented in August 2017 and is offered completely online. Since implementation the program has had 41 graduates. Career opportunities for graduates in this field include careers as community college faculty, industrial trainers, corporate trainers, training and development personnel, curriculum coordinators, work experience coordinators (community college), school to career coordinators (high school), career counselors (high school and community college), and workforce development coordinators.

An internal analysis of data from the US Bureau of Labor Statistics and the Labor Market Information Division of the Alabama Department of Labor show an overall increase of 9 percent in employment opportunities for Career and Technical Education teachers in various types of educational venues. At the postsecondary level in particular, which includes technical, trade, and business schools, the BLS estimates a 12 percent growth rate in employment of vocational education teachers through 2022, faster than the average for all occupations.

8. Priority consideration being accorded to institution(s) with role seniority in that service area [refer to Alabama Code 16-5-10]

Athens State University fully understands and strongly supports the commitment of the Alabama Commission on Higher Education to give priority to institutions having seniority in years of operation in the service area. Institutions with a rich history of continuous operation are invaluable to the local, regional communities they serve. Athens State University was founded in 1822 and has served the north Alabama region for almost 200 years with an ongoing mission to serve the area's non-traditional students.

9. Accreditation considerations

Athens State University ensures program quality by seeking national accreditations when available.

All of the teacher certification programs offered by the College of Education and the College of Arts and Sciences are accredited by *The National Council for Accreditation of Teacher Education (NCATE)*. This accreditation covers initial teacher preparation programs and advanced educator preparation programs. NCATE is recognized by the U.S. Department of Education and the Council for Higher Education Accreditation to accredit programs for the preparation of teachers and other professional school personnel. NCATE is currently collaborating with TEAC (Teacher Education Accreditation Council) to form a new unified accrediting body called The Council for Accreditation of Educator Programs (CAEP). These programs were last affirmed in 2015 and the next reaffirmation is scheduled for 2021. Additionally, all teacher certification programs at the University are approved by the Alabama State Department of Education (ASLDE).

All programs offered by the College of Business, including the M.S. in Global Logistics and Supply Chain Management, are accredited by the Accreditation Council for Business Schools and Programs (ACBSP) and the curriculum complies with the Common Professional Component (CPC) recommended by the ACBSP. Initial accreditation for the graduate program was granted following an on-site visit in 2018. The first Quality Assurance Report is due in September 2022 and the next reaffirmation is scheduled for 2028.

The B.S in Computer Science degree program (excluding the concentration in Information Security) is accredited by the Computing Accreditation Commission of Accreditation Board for Engineering and Technology (ABET).

10. Peer and other feedback

As part of the implementation process, the University maintained open and ongoing evaluation processes with students. Feedback was gathered through Focus Groups, Faculty/Course Evaluations, and Graduate Student Exit Surveys.

Multiple Focus Group events have been conducted with students since the implementation of the first graduate program in January 2016. Their feedback has been critical in the ongoing support of graduate coursework. Some of the strengths noted in their comments included the "cost of tuition" and the "availability of professors". Others appreciated the critical thinking simulations in business situations and the "real world application" exercises.

Feedback on the Faculty/Course Evaluations showed that students rated the Overall Instructional Quality of their graduate course as 4.38/5.00 scale (n = 82). Other aspects of the evaluation are provided in **Table 8**.

Table 8
Faculty/Course Evaluation Results – Graduate Courses – Fall 2018

Outcome	% High or Somewhat High	Mean Score (5.00 scale)
The instructor's teaching effectiveness	76.8%	4.22
Clarity of course objectives and expectations	76.5%	4.22
Organization of course content	81.7%	4.35
Helpfulness of text and course materials to achieve course goals	74.4%	4.11
Relevance of assignments to course content	80.8%	4.35
Appropriateness of workload to course goals	75.6%	4.17
Quality of resources (technology, classroom, etc.) for this course	79.3%	4.28

Students also provided feedback through the Graduate Programs Exit Survey. **Table 9** provides data from this instrument.

Table 9
Graduate Programs Exit Survey Results

Question	% High or Somewhat High
Quality of teaching by program faculty	62.5%
Strength and rigor of the graduate curriculum	62.5%
Overall graduate education from Athens State	62.5%
Overall satisfaction with support services	62.5%

Satisfaction from Low (=1) to High (=5)

Appendices

DOCUMENTS IN SUPPORT OF THE APPLICATION FOR CHANGE OF INSTRUCTIONAL ROLE

Appendices

1. [Athens State University Academic Inventory](#)
2. [Curriculum Review Process Flowchart](#)
3. [Faculty Qualifications Roster](#)
4. [Fiscal Operations Report and Application to Participate \(FISAP\)](#)
5. [Program Participation Agreement \(ECAR\)](#)
6. [Financial Projections and Results](#)

Tables

1. [Timeline of Graduate Program Implementation](#)
2. [Approval Timeline for Graduate Programs](#)
3. [Graduate Program Enrollment and Credit Hour Production](#)
4. [Fall 2018 Top Feeder Colleges](#)
5. [Financial Performance: M.S. in GLSCM Program](#)
6. [Financial Performance: M.A. in Religious Studies Program](#)
7. [Financial Performance: M.Ed. in Career & Technical Education Program](#)
8. [Faculty/Course Evaluation Results](#)
9. [Graduate Program Exit Survey Results](#)

Post-Implementation Report – M.S. In Global Logistics & Supply Chain Management

Appendices

7. [Enrollment and Credit Hour Production](#)
8. [Faculty Qualifications Roster](#)

Tables

1. [Data at a Glance – M.S. in GLSCM](#)
2. [New Admissions by Annual Cohort](#)
3. [Annual Completers](#)
4. [Employment of Graduates](#)

Post-Implementation Report – M.A. In Religious Studies

Tables

1. [Data at a Glance – M.A. in Religious Studies](#)
2. [New Student Admissions](#)
3. [Annual Completers](#)
4. [Employment of Graduates](#)

Post-Implementation Report – M.Ed. In Career & Technical Education

Tables

1. [Data at a Glance – M.Ed. in Career & Technical Education](#)
2. [New Student Admissions](#)
3. [Completers by Semester](#)
4. [Annual Completers](#)
5. [Employment of Graduates](#)

ALABAMA COMMISSION ON HIGHER EDUCATION

PROGRAM INVENTORY

Athens State University

<u>CIP</u>	<u>FIELD OF STUDY/PROGRAM TITLE</u>	<u>DEGREES OFFERED</u>	<u>STATUS</u>
11.0101	COMPUTER AND INFORMATION SCIENCES, GENERAL. COMPUTER SCIENCE	B.S.	1
11.0103	INFORMATION TECHNOLOGY. INFORMATION TECHNOLOGY	B.S.	1
13.1001	SPECIAL EDUCATION AND TEACHING, GENERAL. SPECIAL EDUCATION	B.S.Ed.	1
13.1202	ELEMENTARY EDUCATION AND TEACHING. ELEMENTARY EDUCATION	B.S.Ed.	1
13.1209	KINDERGARTEN/PRESCHOOL EDUCATION AND TEACHING. EARLY CHILDHOOD EDUCATION	B.S.Ed.	1
13.1314	PHYSICAL EDUCATION TEACHING AND COACHING. PHYSICAL EDUCATION	B.S.Ed.	1
13.1319	TECHNICAL TEACHER EDUCATION. CAREER AND TECHNICAL EDUCATION CAREER AND TECHNICAL EDUCATION	B.S.Ed. M.Ed.	1 1
13.9999	EDUCATION, OTHER. EDUCATIONAL STUDIES	B.S.	1
23.0101	ENGLISH LANGUAGE AND LITERATURE, GENERAL. ENGLISH	B.A.	1
24.0101	LIBERAL ARTS AND SCIENCES/LIBERAL STUDIES. LIBERAL/GENERAL STUDIES	B.S.	1

09/24/2019

ALABAMA COMMISSION ON HIGHER EDUCATION

PROGRAM INVENTORY

Athens State University

<u>CIP</u>	<u>FIELD OF STUDY/PROGRAM TITLE</u>	<u>DEGREES OFFERED</u>	<u>STATUS</u>
26.0101	BIOLOGY/BIOLOGICAL SCIENCES, GENERAL. BIOLOGY	B.S.	1
27.0101	MATHEMATICS, GENERAL. MATHEMATICS	B.S.	1
30.9999	MULTI-/INTERDISCIPLINARY STUDIES, OTHER. BEHAVIORAL SCIENCE	B.S.	1
31.0504	SPORT AND FITNESS ADMINISTRATION/MANAGEMENT. HEALTH & WELLNESS MANAGEMENT	B.S.	1
38.0201	RELIGION/RELIGIOUS STUDIES. RELIGION & PHILOSOPHY RELIGIOUS STUDIES	B.A. M.A.	1 1
40.0501	CHEMISTRY, GENERAL. CHEMISTRY	B.S.	1
42.0101	PSYCHOLOGY, GENERAL. PSYCHOLOGY	B.S. / B.A.	1
43.0104	CRIMINAL JUSTICE/SAFETY STUDIES. CRIMINAL JUSTICE	B.S.	1
43.0201	FIRE PREVENTION AND SAFETY TECHNOLOGY/TECHNICIAN. PUBLIC SAFETY ADMINISTRATION	B.S.	1
45.0101	SOCIAL SCIENCES, GENERAL. SOCIAL SCIENCE	B.S.	1

09/24/2019

ALABAMA COMMISSION ON HIGHER EDUCATION

PROGRAM INVENTORY

Athens State University

CIP FIELD OF STUDY/PROGRAM TITLE

DEGREES OFFERED

STATUS

45.1001 POLITICAL SCIENCE AND GOVERNMENT, GENERAL.
POLITICAL SCIENCE AND GOVERNMENT

1

B.S. / B.A.

45.1101 SOCIOLOGY.
SOCIOLOGY

1

B.S. / B.A.

50.0501 DRAMA AND DRAMATICS/THEATRE ARTS, GENERAL.
DRAMA AND THEATRE ARTS

1

B.A.

50.0701 ART/ART STUDIES, GENERAL.
ART

1

B.A.

51.0701 HEALTH/HEALTH CARE ADMINISTRATION/MANAGEMENT.
HEALTH CARE MANAGEMENT

1

B.S.

51.9999 HEALTH PROFESSIONS AND RELATED CLINICAL SCIENCES, OTHER.
HEALTH SCIENCE

1

B.S.

52.0201 BUSINESS ADMINISTRATION AND MANAGEMENT, GENERAL.
BUSINESS MANAGEMENT

1

B.S.

52.0202 PURCHASING, PROCUREMENT/ACQUISITIONS AND CONTRACTS MANAGEMENT.
ACQUISITION & CONTRACT MGT

1

B.S.

52.0203 LOGISTICS, MATERIALS, AND SUPPLY CHAIN MANAGEMENT.
LOGISTICS & SUPPLY CHAIN MGT
GLOBAL LOGISTICS AND SUPPLY CHAIN MANAGEMENT

1

B.S.

1

M.S.

52.0301 ACCOUNTING.
ACCOUNTING

1

B.S.

09/24/2019

ALABAMA COMMISSION ON HIGHER EDUCATION

PROGRAM INVENTORY

Athens State University

CIP FIELD OF STUDY/PROGRAM TITLE

DEGREES OFFERED

STATUS

52.1001	HUMAN RESOURCES MANAGEMENT/PERSONNEL ADMINISTRATION, GENERAL. HUMAN RESOURCES MANAGEMENT	B.S.	1
52.1201	MANAGEMENT INFORMATION SYSTEMS, GENERAL. INFORMATION ASSURANCE	B.S.	1
52.9999	BUSINESS, MANAGEMENT, MARKETING, AND RELATED SUPPORT SERVICES, OTHER. MANAGEMENT OF TECHNOLOGY	B.S.	1
54.0101	HISTORY, GENERAL. HISTORY	B.A.	1

Total

TOTAL NUMBER OF DEGREE
PROGRAMS

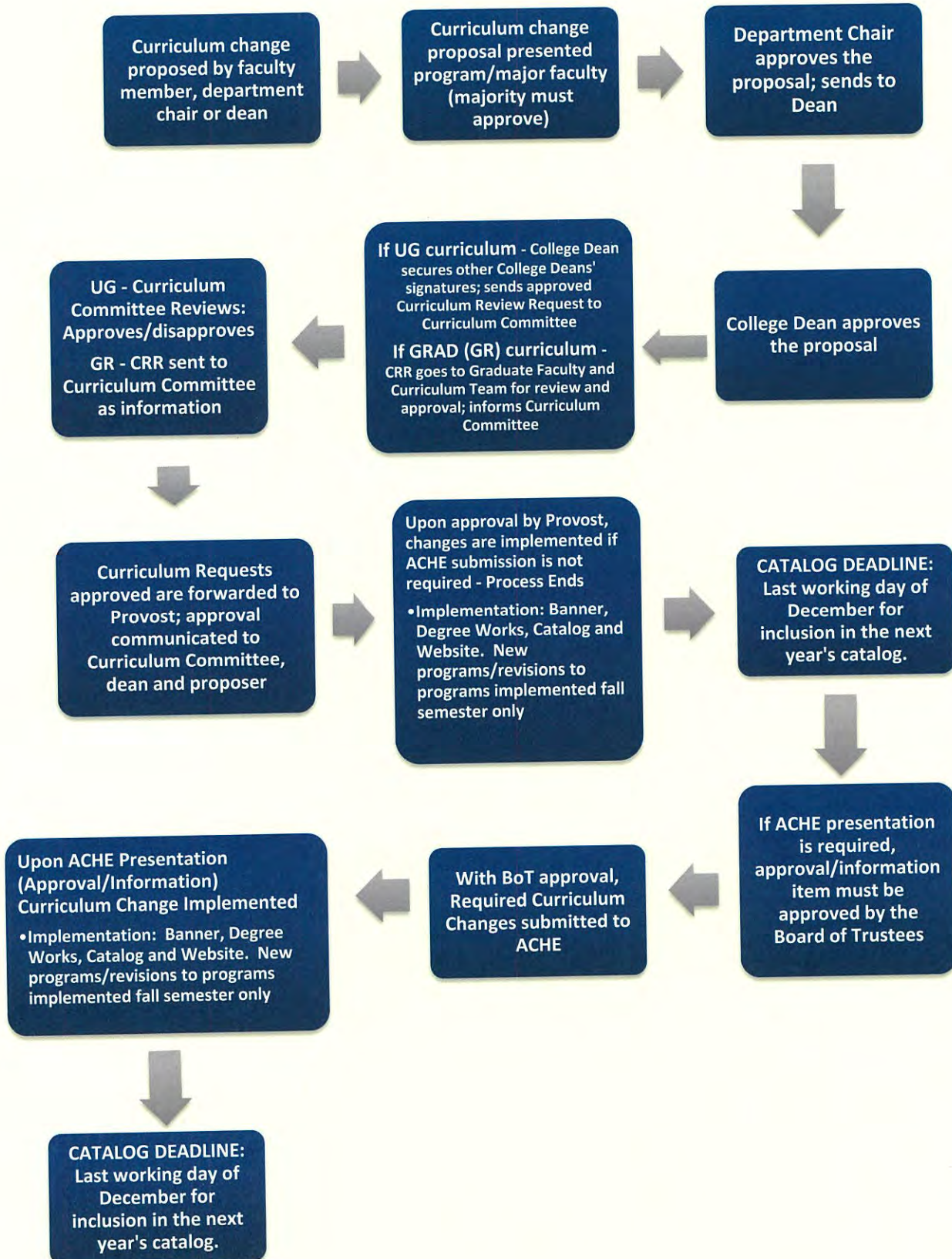
BACC: 34

Masters: 3

TOTAL: 37

CURRICULUM REVIEW AND APPROVAL PROCESS

FROM ATHENS STATE UNIVERSITY TO ACHE



Athens State University Graduate Faculty Roster

Faculty	Academic Qualifications	Professional Qualifications
Baird, Dr. Debra (FULL-TIME) RE 500 – Methods & Concepts in Researching and Teaching in Religious Studies	Ph.D. in Elementary Education, University of Alabama	
Baugh, Dr. LaDoris (FULL-TIME) MGT 603 – Financial Management	M.A. (Post-Doctoral) in Theology, Spring Hill College D.B.A. w/concentration in Leadership <i>University of Phoenix</i> Certified in Financial Management (CFM) by the Institute of Certified Management Accountants	<ul style="list-style-type: none"> ▪ 9 Years -Internal Auditor for Amoco Oil Company ▪ 5 Years – Graduate teaching experience in Finance and Accounting
Bergantz, Dr. Letitia (FULL-TIME) ED 610 – Technology for Educational Leaders	Ph.D. in Educational Leadership & Technology, University of the Cumberlands	<ul style="list-style-type: none"> ▪ Peer Reviewer Certification, 2014, Quality Matters ▪ Quality Matters Peer Reviewer Certificate, 2014, Quality Matters ▪ Applying the QM Rubric Training Certificate, 2014, Quality Matters ▪ Updated QM Rubric Training, 2018, Quality Matters
Chandler, Dr. Bridgette (FULL-TIME) CE 520 – Curriculum Development CE 540 – Organization and Coordination of Career and Technical Education CE 580 – Coordination and Supervision of Career and Technical Education CE 600 – Adult and Community Education CE 620 – Teaching and Training	Ed.D. in Educational Leadership, University of Alabama M.A. in Family and Consumer Sciences, University of Alabama	
Cowan, Dr. Wendy (FULL-TIME) ED 510 – Technology for Teaching and Training ED 540 – Technology Integration for Teaching and Training	Ph.D. in Human Performance, Middle Tennessee State University M.Ed in Physiology & Health Promotions, Auburn University	<ul style="list-style-type: none"> ▪ Extensive training, practice, presentations and publications in the area of educational technology beginning in 2004. ▪ Quality Matters Certified Reviewer, Quality Matters Institutional Representative, Quality Matters Applying the QM Rubric, OLC Effective Practice awards – 2014 and 2015 Backboard Exemplary Course Award – 2012
Cox, Dr. Scott (FULL-TIME) LIS 600 – Logistics Information Systems Management LSM 603 – Supply Chain & Logistics Strategies	Ph.D. Logistics/Supply Chain Management w/minor in Information Systems <i>Georgia Southern University</i>	<ul style="list-style-type: none"> ▪ 6 Years -Logistics Analyst -Robins Air Force Base-ALC Maintenance Depot ▪ Ad Hoc Reviewer – <i>International Journal for Logistics Management</i>

<p>Essary, Dr. Michael (FULL-TIME) LSM 601 – Procurement & Materials Management LSM 602 – Management of Distribution & Inventory MGT 600 - Operations Planning & Control MGT 602 – Strategic Management & Leadership MGT 603 – Financial Management</p>	<p>D.B.A. w/concentration in Financial Management <i>Northcentral University</i> 24 Graduate hours in Logistics <i>Florida Institute of Technology</i> APICS Certified in Production & Inventory Management Maintenance Certified Quality Improvement Associate by American Society for Quality (ASQ) Ph.D. in History, University of Cambridge</p>	<ul style="list-style-type: none"> ▪ 6 Years -Graduate teaching experience in Finance and Supply Chain Management ▪ 28 Years – Industry experience in Operations Management
<p>Fritze, Dr. Ronald (FULL-TIME) RE 511 – Age of the Reformation, 1350-1610 RE 601 – Seminar in History of Religions</p>		
<p>Gale, Dr. Mark (FULL-TIME) ED 520 – eLearning Design and Development ED 560 – Mindful Leadership</p>	<p>Ph.D. in Administration of Higher Education, Auburn University M.S. in Management Information Systems, University of Alabama in Huntsville Ph.D. in Instructional Leadership, University of Alabama</p>	
<p>Gordon, Dr. Tedi (FULL-TIME) ED 500 – Research Applications for Career and Technical Education</p>		
<p>Haghighi, Dr. Mike (FULL-TIME) LIS 600 – Logistics Information Systems Management LIS 601 - Logistics/Supply Chain Information Assurance LIS 602 – Enterprise Resource Planning</p>	<p>M.Ed. in Education, Tarleton University Ed.D. Higher Education Administration <i>University of Alabama</i> M.A.S. in Management Information Systems, <i>University of Alabama in Huntsville</i></p>	<ul style="list-style-type: none"> ▪ Cisco Certified Network Associate (CCNA) ▪ Cisco Certified Networking Academy IT Essentials Trainer ▪ Cisco Networking Academy Network Security Trainer ▪ SAP University Alliance Enterprise Resource Planning ▪ SAP University Alliance Analytics & Data Warehousing ▪ Certified SAP University Alliance Instructor for SAP ERPsimLab
<p>Jones, Dr. Kelly (PART-TIME) CE 560 – Course Construction and Evaluation</p>	<p>Ph.D. in Education, Walden University M.S. in Industrial Technology Education, Alabama A&M University</p>	<ul style="list-style-type: none"> ▪ In addition to academic course work in the field of career and technical education, Dr. Jones has served as the Director of Adult Education at Wallace State Community College and presently serves as Director of the Snead Center for WSCC giving her much experience in higher education administration.

<p>Kandelac, Dr. Katherine (FULL-TIME) CE 500 – Principles and Philosophies of Career and Technical Education CE 550 – Performance Analysis and Assessment ED 530 – Community Partnerships & Relations ED 570 – Competency-Based Education ED 640 – Creative Project</p> <p>Kennermer, Dr. Mike (PART-TIME) ED 530 – Community Partnerships and Relations</p>	<p>Ed.D. in Adult & Community College Education, North Carolina State University</p> <p>M.Ed. in Workforce Education & Development, University of Georgia</p> <p>Ed.D. in Higher Education Administration, University of Alabama Master's in Public Administration, Jacksonville State University</p>	<ul style="list-style-type: none"> ▪ Director of Workforce Development and Skills Training (Instructional Officer for Career/Tech Education) — Northeast Alabama Community College, 2005 – Present ▪ Research Scientist and Curriculum Lead for the Supply Chain Education Initiative for the Army Materiel Command (Redstone Arsenal, Alabama) and the Center for the Management of Science and Technology at UAH
<p>Loveland, Dr. Cynthia (FULL-TIME) LSM 600 – Supply Chain Governance LSM 602 – Management of Distribution & Inventory LSM 604 – Supply Chain Simulation Modeling/Analysis</p> <p>Moyers, Dr. Tony (FULL-TIME) RE 513 – Advanced Study of Psalms and Wisdom Literature RE 516 – Interpreting the Text RE 530 – Biblical Hebrew Language and Grammar RE 531 – Directed Studies in Translating Texts from Hebrew Bible RE 540 – The Language and Grammar of the New Testament RE 541 – Directed Studies in Translating New Testament Texts RE 553 – Directed Studies in Hebrew RE 600 – Seminar in Biblical Studies RE 701 – Thesis Research</p>	<p>Ph.D. in Manufacturing Systems Engineering University of Alabama in Huntsville M.S.E., Industrial and Systems Engineering, University of Alabama in Huntsville</p> <p>Ph.D. in Religion, Baylor University</p>	
<p>Pieplow, Dr. Thomas (FULL-TIME) LSM 600 – Supply Chain Governance LSM 601 - Procurement & Materials Management LSM 602 – Management of Distribution & Inventory LSM 603 – Supply Chain & Logistics Strategies LSM 610 – Case Studies in Logistics Capstone MGT 601 – Global Economics</p>	<p>D.P.A Nova Southeastern University M.B.A. w/Logistics Management Option Florida Institute of Technology 34 Functional Specialized Courses – Army Logistics Management Center Supply Management Intern Army Training Program Dept. of Army Materiel Development & Readiness Command (DARCOM) Level III Certified in Acquisition, Logistics, and Program Management, Army Acquisition Corps</p>	<ul style="list-style-type: none"> ▪ 8 Years -Director of Business Management for Army Materiel Command Center ▪ 3 Years – Associate Program Manager -Logistics, Unmanned Aerial Vehicles, Program Executive Officer, Cruise Missiles and UAVs ▪ Guest Lecturer – Army Logistics Management Center ▪ Invited Presentations – ▪ “Sustainment Logistics” for Army Aviation Association of America ▪ “Theatre Logistics” for National Defense Industry Association

<p>Roberts, Dr. Kim (PART-TIME) ED 600 – Industrial Management and Teambuilding</p>	<p>Ph.D. in Instructional Leadership with Concentration in Instructional Technology, University of Alabama</p> <ul style="list-style-type: none"> ▪ On the Senior Leadership Team at Ascend Performance Materials 1998 – 2012: Professional leadership experience in area of industrial management and teambuilding ▪ NCCER Instructor Certification – 2018: specialty training for craft fields associated with CTE ▪ Quality Matters Higher Education Peer Reviewer – 2015: specialization in online course design ▪ Principles of Lean Manufacturing Certificate – 2004: application of leadership and project management principles for industrial management and teambuilding
<p>Thornton, Dr. Timothy (FULL-TIME) ED 510 – Technology for Teaching and Training ED 530 – Community Partnerships and Relations ED 540 – Technology Integration for Teaching and Training ED 560 – Mindful Leadership CE 610 – Work Site Training and Development Tomblor, Dr. Ying Sun (PART-TIME) MGT 601 – Global Economics</p>	<p>Ed.D in Technology, Engineering & Design Education, North Carolina State University M.A.T. in Business and Information Technology Education, East Carolina University Ph.D. in Economics and Finance, University of California - Santa Barbara M.A. in Economics, University of California – Santa Barbara</p>
<p>White, Dr. Robert (FULL-TIME) RE 501 – History of Judaism RE 509 – Christian Thought in Early Centuries RE510 – Advanced Study of Leading Change in Faith Communities and Other Non-profits RE512 – Advanced Study of the Hebrew Prophets RE516 – Interpreting the Text RE 526 – Advanced Study of Social Change and Transformational Leadership RE 527 – Advanced Study of Jesus, Muhammad, and Buddha RE 542 – The Parables of Jesus RE 552 – Problems of Evil and Suffering RE 602 – Seminar in Leadership and Community Service RE 700 – Religious Studies Project</p>	<p>Doctorate of Ministry, Religion and Theology, Southern Baptist Theological Seminary Master of Divinity, Religion and Theology, Southern Baptist Theological Seminary</p>

APPENDIX 3

Wright, Dr. Lionel (FULL-TIME)
LSM 601 – Procurement & Materials Management
MGT 600 – Operations Planning & Control

D.B.A. with Specialization in Global Supply Chain
Management, *Walden University*
M.S., Logistics & Supply Chain Management,
Embry-Riddle Aeronautical University

- Certified Logistics Associate – Manufacturing Skills Standard Council (MSSC)
- Demonstrated Master Logistician – International Society of Logistics
- Life Cycle Logistics Level III – Defense Acquisition University

Section B. Certification and Warning

Name of School Athens State University
OPEID Number 00100800 State AL

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification. I further certify that the information contained in this electronic FISAP is in compliance with governing legislation and regulations and is true and accurate. I understand that all information associated with this FISAP is subject to audit and program review by representatives of the Secretary of Education.

Note: The Campus-Based eSignature process has been discontinued.

WARNING: If you purposely give false or misleading information, you may be fined up to \$20,000, sent to prison, or both.

8. Chief Executive Officer (includes President, Chancellor and Director)
Important: ONLY the school's CEO is authorized to sign the FISAP.

Signature *Philip K. Way*
 Name Philip Way
 Title CHIEF EXEC OFFICER
 E-mail address philip.way@athens.edu

Date signed 9/24/19
 Telephone No. (256) 233-8201
 Fax No. (256) 233-8201

The CEO must provide an original signature on the printed form that must be mailed or hand delivered by the October 1, 2019 deadline date.

Standard Mail:
U.S. Department of Education
P.O. Box 9003
Niagara Falls, NY 14302

Overnight Mail/Courier:
U.S. Department of Education
2429 Military Road, Suite 200
Niagara Falls, NY 14304

APPENDIX 4

Public Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1845-0030. Public reporting burden for this collection of information is estimated to average 24 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Responding to this collection is mandatory in accordance with 34 CFR 674.19 (Federal Perkins Loan), 34 CFR 675.19 (Federal Work-Study), and 34 CFR 676.19 and 20 U.S.C. 1094 (Federal Supplemental Educational Opportunity Grant). If you have comments or concerns regarding the status of your individual submission of this form, please contact the Common Origination and Disbursement (COD) School Relations Center directly at 800/848-0978 or email CODSupport@ed.gov.

Fiscal Operations Report and Application to Participate (FISAP)

Report: Award Year July 1, 2018 through June 30, 2019; Application: Award Year July 1, 2020 through June 30, 2021

Part I. Identifying Information, Certification and Warning

Section A. Identifying Information

1(a). Name and address of school

Athens State University
300 North Beaty Street
Athens AL 356111999

1(b). Mailing address (if different from 1(a))

2. OPEID Number 00100800

3. Type of school (select one)

- 3.1 public
- 3.2 private/non-profit
- 3.3 proprietary

(Select one if proprietary)

- (a) art
- (b) business
- (c) cosmetology
- (d) trade and technical
- (e) other

4. Length/type of longest program (select one)

- 4.1 less than 1 year
- 4.2 1 year but less than 2 years
- 4.3 2 years but less than 3 years
- 4.4 3 years but less than 4 years
- 4.5 4 years (no higher than a baccalaureate degree)
- 4.6 5 years or more
- 4.7 post-baccalaureate only

5. Additional Institutions

If the data reported on this form applies to more than one eligible institution you must identify all institutions for which this form is applicable. The OPEID and individual amount(s) of 2018-19 FSEOG and FWS authorizations allocated to each institution must be provided. **See instructions**

This FISAP includes data for more than one eligible institution.

yes no

If yes, list the following for each eligible institution:

OPEID _____ 2018-19 FSEOG \$ _____ 2018-19 FWS \$ _____

6. Financial Aid Administrator

Name Mitchell O. Bazzel Telephone No. (256) 233-8161
Email address mitchell.bazzel@athens.edu Fax No. (256) 233-8178

7. Name and address of private financial aid consultant firm, if any

Name _____
Address 1 _____
Address 2 _____
City _____ State _____ Zip _____

APPENDIX 4

Application to Participate, Part II

Name of School Athens State University
DPEID Number 00100800 State AL

Part II. Application to Participate for Award Year July 1, 2020 through June 30, 2021

Section A. Request for Funds for the 2020-21 Award Year

- 1. Federal Perkins Loan Level of Expenditures \$ n/a
- 2. Federal Perkins Loan Federal Capital Contribution \$ n/a
- 3. FSEOG federal funds \$ 200000
- 4. FWS federal funds \$ 200000

Section B. Federal Perkins Loan Program Liquidation Request (Refer to FISAP Instructions for a more detailed explanation of this Section and field.)

5. My school wishes to liquidate its Federal Perkins Loan Program portfolio. yes no

Section C. Waiver Request for the Underuse of Funds

My school has returned more than 10 percent of its Federal Perkins Loan, FSEOG, or FWS allocation for the 2018-19 award year.

6. My school wishes to apply for a waiver of the penalty for the underuse of funds and will provide, on the Additional Information screen, a written explanation of the circumstances. yes no

APPENDIX 4

Application to Participate, Part II (continued)

Name of School Athens State University
 PEID Number 00100800 State AL

Part II. Application to Participate for Award Year July 1, 2020 through June 30, 2021

Section D. Information on Enrollment

My school's calendar is Traditional Non-Traditional

Schools with a traditional calendar that had 2018-19 enrollment, fill in Field 7.

7. Total number students, 2018-19 (a) Undergraduate 3767 (b) Graduate/Professional 208

Schools with a traditional calendar that did not have 2018-19 enrollment, fill in Field 8.

8. Estimated number students, 2019-20 (a) Undergraduate _____ (b) Graduate/Professional _____

Schools with a non-traditional calendar that had 2018-19 enrollment, fill in fields 9 through 20.

	Undergraduate Continuing Students (a)	Undergraduate New Starts (b)	Graduate/Professional Continuing Students (c)	Graduate/Professional New Starts (d)
9. July 1, 2018	0	0	0	0
10. August 1	0	0	0	0
11. September 1	0	0	0	0
12. October 1	0	0	0	0
13. November 1	0	0	0	0
14. December 1	0	0	0	0
15. January 1, 2019	0	0	0	0
16. February 1	0	0	0	0
17. March 1	0	0	0	0
18. April 1	0	0	0	0
19. May 1	0	0	0	0
20. June 1	0	0	0	0
21. TOTAL	0	0	0	0

Section E. Assessments and Expenditures

	Undergraduate (a)	Graduate/Professional (b)
22. Total tuition and fees for the award year July 1, 2018 to June 30, 2019	\$ 9322621	\$ 352474
23. Total Federal Pell Grants expenditures for the 2018-19 award year	\$ 5669975	
24. Total expended for state grants and scholarships made to undergraduates for the award year July 1, 2018 to June 30, 2019	\$ 410631	

Section F. Information on Eligible Aid Applicants Enrolled in Your School for Award Year 2018-19

	Dependent Undergraduate		Independent Undergraduate		Independent
	Without Baccalaureate/ 1 st Prof. Degree (a)	With Baccalaureate 1 st Prof. Degree (b)	Without Baccalaureate/ 1 st Prof. Degree (c)	With Baccalaureate/ 1 st Prof. Degree (d)	Graduate/ Professional (e)
25. Students with an "Automatic" Zero EFC	107	0	331	18	14

	Taxable and Untaxed Income		Taxable and Untaxed Income		
	Without Baccalaureate/ 1 st Prof. Degree (a)	With Baccalaureate/ 1 st Prof. Degree (b)	Without Baccalaureate/ 1 st Prof. Degree (c)	With Baccalaureate/ 1 st Prof. Degree (d)	
26. \$0 - \$2,999	4	0	87	6	1
27. \$3,000 - \$5,999	1	0	10	2	0
28. \$6,000 - \$8,999	1	0	12	3	0
29. \$9,000 - \$11,999	3	0	14	2	1
30. \$12,000 - \$14,999	2	0	13	0	0
31. \$15,000 - \$17,999	7	0	19	4	1
32. \$18,000 - \$23,999	11	0	37	1	1
33. \$24,000 - \$29,999	17	0	34	4	3
34. \$30,000 - \$35,999	31	0	35	3	1
35. \$36,000 - \$41,999	23	0	27	4	1
36. \$42,000 - \$47,999	32	0	41	7	0
37. \$48,000 - \$53,999	34	0	29	4	2
38. \$54,000 - \$59,999	23	0	41	1	0
39. \$60,000 and over	323	5	941	88	93
40. TOTAL	619	5	1671	147	118

APPENDIX 4

Fiscal Operations Report, Part III

Name of School Athens State University
 PEID Number 00100800 State AL

Part III. Federal Perkins Loan Program for Award Year July 1, 2018 through June 30, 2019

Section A. Fiscal Report (Cumulative) as of June 30, 2019

Field Item	Amount (a)	Number of Borrowers (b)	Debit Balances (c)	Credit Balances (d)
1.1. Cash on hand and in depository as of 6/30/2019			\$ 0	
1.2. Cash on hand and in depository as of 10/31/2019	\$ 0			
2. Funds receivable from federal government			\$ 0	
3. Funds receivable from school			\$ 0	
4. Funds advanced to students		0	\$ 0	
5. Loan principal collected		0		\$ 0
6. Loan principal assigned to and accepted by the United States		0		\$ 0
<u>Loan principal canceled for the following categories:</u>				
7. teaching/military service (applies to loans made prior to 07/01/1972)		0		\$ 0
8. certain subject matter teaching service (math, science, foreign languages, bilingual education)		0		\$ 0
9. all other authorized pre-K or K-12 teaching service		0		\$ 0
10. military service (applies to loans made 07/01/1972 and after)		0		\$ 0
11. volunteer service		0		\$ 0
12. law enforcement and corrections officer service		0		\$ 0
13. child/family/early intervention service		0		\$ 0
14. nurse/medical technician service		0		\$ 0
15. pre-K or child care program staff member service		0		\$ 0
16. service as an attorney in a public defender organization		0		\$ 0
17. fire fighter service		0		\$ 0
18. Tribal College or University faculty service		0		\$ 0
19. librarian service		0		\$ 0
20. speech-language pathology service		0		\$ 0
21. death/disability		0		\$ 0
22. disability based on VA determination		0		\$ 0
23. bankruptcy		0		\$ 0
24. surviving spouses of public service victims of 9-11 terrorist attacks		0		\$ 0
25. loans discharged due to closed schools		0		\$ 0
26. Loan principal adjustments - other		0		\$ 0
27. Federal Capital Contributions			\$ 0	
28. Repayments of fund capital to federal government			\$ 0	
29.1. Short-term loans to the Fund	\$ 0			
29.2. ICC deposited to the Fund	\$ 0			
29.3. Institutional Capital Contributions				\$ 0
30.1. Repayment of short-term loans to the fund	\$ 0			
30.2. Repayments of excess/liquidated fund capital to Institution	\$ 0			
30.3. Repayments of fund capital to school			\$ 0	
31. Interest income on loans				\$ 0
32. Other income				\$ 0
33. Reimbursements to the Fund of the amounts canceled on loans made 07/01/1972 and after				\$ 0
34.1. Administrative cost allowance	\$ 0			
34.2. Collection costs	\$ 0			
34.3. Administrative cost allowance and collection costs (control)			\$ 0	

APPENDIX 4

Fiscal Operations Report, Part III (continued)

Name of School Athens State University
 OPEID Number 00100800 State AL

Part III. Federal Perkins Loan Program for Award Year July 1, 2018 through June 30, 2019

Section A. Fiscal Report (Cumulative) as of June 30, 2019

Field Item	Amount (a)	Number of Borrowers (b)	Debit Balances (c)	Credit Balances (d)
<u>Cost of loan principal and interest canceled for the following categories:</u>				
35. teaching/military service (applies to loans made prior to 07/01/1972)			\$ 0	
36. certain subject matter teaching service (math, science, foreign languages, bilingual education)			\$ 0	
37. all other authorized pre-K or K-12 teaching service (applies to loans made 07/01/1972 and after)			\$ 0	
38. military service (applies to loans made 07/01/1972 and after)			\$ 0	
39. volunteer service in the Peace Corps or under the Domestic Volunteer Service Act of 1973			\$ 0	
40. law enforcement and corrections officer service			\$ 0	
41. child/family/early intervention service			\$ 0	
42. nurse/medical technician service			\$ 0	
43. pre-K or child care program staff member service			\$ 0	
44. service as an attorney in a public defender organization			\$ 0	
45. fire fighter service			\$ 0	
46. Tribal College or University faculty service			\$ 0	
47. librarian service			\$ 0	
48. speech-language pathology service			\$ 0	
49. death/disability			\$ 0	
50. VA disability determination			\$ 0	
51. bankruptcy			\$ 0	
52. surviving spouses of public service victims of 9-11 terrorist attacks			\$ 0	
53. Cost of loan principal and interest assigned to and accepted by the United States			\$ 0	
54. Cost of loan principal and interest canceled for loans discharged due to closed schools			\$ 0	
55. Other costs or losses			\$ 0	
56. Balancing Adjustments (Debits)			\$ 0	
57. Balancing Adjustments (Credits)				\$ 0
58. Total debits and credits (Sum of fields 1.1 through 57)			\$ 0	\$ 0

Section B. Annual Activity During the 2018-19 Award Year (July 1, 2018 through June 30, 2019)

	Number of Borrowers (a)	Amount (b)
1. Final adjusted Federal Capital Contribution (FCC) authorization		\$ n/a
2. FWS funds transferred to the Fund		+\$ n/a
3. FCC transferred to:		
(a) FSEOG		-\$ n/a
(b) FWS		-\$ n/a
4. Total federal funds available for the 2018-19 award year (fields 1 + 2 - 3(a) - 3(b))		\$ n/a
5. The unexpended amount of final adjusted authorized FCC for award year 2018-19 that was NOT requested from G5 by June 30, 2019. This amount will be reduced from your total award amount next spring (see instructions).		\$ n/a
6. Institutional Capital Contribution (ICC) deposited into the Fund between July 1, 2018 and June 30, 2019		\$ n/a
7. Loans advanced to students from the Fund during the 2018-19 award year (minus 2018-19 award year refunds)		\$ n/a
8. Administrative cost allowance claimed for the 2018-19 award year (see instructions)		\$ n/a
9. Total principal and interest repaid by borrowers from all sources during the 2018-19 award year	0	\$ 0
10. Total principal repaid by borrowers from all sources during the 2018-19 award year for loans in default for more than 2 years but not more than 5 years	0	\$ 0
11. Total principal repaid by borrowers from all sources during the 2018-19 award year for loans in default for more than 5 years	0	\$ 0
12. Annual servicing costs paid with institutional funds during the 2018-19 award year for non-defaulted loans (do not include collection costs included in Section A, field 34.2)		\$ 0
13. Amount of loan service cancellation reimbursement your institution received during the 2018-19 award year, if applicable (do not include this amount in Section A, field 33)		\$ 0

APPENDIX 4

Fiscal Operations Report, Part III (continued)

Name of School Athens State University
 OPEID Number 00100800 State AL

Part III. Federal Perkins Loan Program for Award Year July 1, 2018 through June 30, 2019

Section C. Cumulative Repayment Information as of June 30, 2019

Status of Borrowers as of June 30, 2019

	Amount (a)	Number of Borrowers (b)	Amount Lent (c)	Principal Amount Outstanding (d)
1.1. Borrowers whose loans are fully retired		0	\$ 0	
1.2. Loans that have been purchased	\$ 0			
2. Borrowers whose loans were assigned to and officially accepted by the U.S. Department of Education as of June 30, 2019 (Note: Field 2 equals the sum of Field 2.1 plus Field 2.2.)		0	\$ 0	\$ 0
2.1 Assignments due to default or liquidation		0	\$ 0	\$ 0
2.2 Assignments due to total and permanent disability discharge		0	\$ 0	\$ 0
3. Total borrowers not in repayment status		0		\$ 0
4. Borrowers on schedule in repayment status		0		\$ 0
5.1. In default less than 240 days (monthly installments) or less than 270 days (other installments)		0	\$ 0	\$ 0
5.2. In default 240 days or more (monthly installments) or 270 days or more (other installments), up to 2 years		0	\$ 0	\$ 0
5.3. In default more than 2 years but not more than 5 years		0	\$ 0	\$ 0
5.4. In default more than 5 years		0	\$ 0	\$ 0

Cohort Default Rate (Sections D and E)

Schools with fewer than 30 borrowers who entered repayment in the 2017-18 award year should skip to Section E.

Section D. Schools with 30 or More Borrowers Who Entered Repayment in the 2017-18 Award Year

1.1. Number of borrowers who entered repayment in 2017-18	0
1.2. Number of borrowers from Field 1.1 above with loans in default by June 30, 2019	0
1.3. Cohort default rate ((Field 1.2 / Field 1.1) x 100)	0

Section E. Schools with Fewer than 30 Borrowers Who Entered Repayment in the 2017-18 Award Year

2.1. Number of borrowers who entered repayment in:	2.2. Number of borrowers with loans in default by:	
(a) 2015-16 (07/01/2015-06/30/2016)	(a) June 30, 2017 (those in 2.1(a) only)	0
(b) 2016-17 (07/01/2016-06/30/2017)	(b) June 30, 2018 (those in 2.1(b) only)	0
(c) 2017-18 (07/01/2017-06/30/2018)	(c) June 30, 2019 (those in 2.1(c) only)	0
2.3. Total number of borrowers who entered repayment during the three years above (fields 2.1(a) + 2.1(b) + 2.1(c))		0
2.4. Total number of borrowers with loans in default during the three years above (fields 2.2(a) + 2.2(b) + 2.2(c))		0
2.5. Cohort default rate ((Field 2.4 / Field 2.3) x 100)		0

APPENDIX 4

Fiscal Operations Report, Part IV

Name of School Athens State University
 OPEID Number 00100800 State AL

Part IV. Federal Supplemental Educational Opportunity Grant (FSEOG) Program for Award Year July 1, 2018 through June 30, 2019

Section A. Federal Funds Authorized for FSEOG

1. Final adjusted FSEOG authorization \$ 125512

Section B. Federal Funds Available for FSEOG Expenditures

2. FWS funds transferred to and spent in FSEOG	+ \$ <u>34423</u>
3. Federal Perkins Federal Capital Contribution funds transferred to and spent in FSEOG	+ \$ <u>n/a</u>
4. FSEOG funds transferred to and spent in FWS	- \$ <u>0</u>
5. 2019-20 FSEOG funds carried back and spent in 2018-19	+ \$ <u>0</u>
6. Additional 2019-20 FSEOG funds carried back and spent for 2019 summer enrollment	+ \$ <u>0</u>
7. 2017-18 funds carried forward and spent in 2018-19	+ \$ <u>8470</u>
8. 2018-19 funds carried forward to be spent in 2019-20	- \$ <u>7243</u>
9. 2018-19 funds carried back and spent in 2017-18	- \$ <u>0</u>
10. Additional 2018-19 funds carried back and spent for 2018 summer enrollment	- \$ <u>0</u>
11. Total federal funds available for 2018-19 FSEOG (fields 1 + 2 + 3 + 5 + 6 + 7) minus (fields 4 + 8 + 9 + 10)	\$ <u>161162</u>

Section C. Funds to FSEOG Recipients

12. Total funds to FSEOG recipients (fields 13 + 14)	\$ <u>161162</u>
13. Nonfederal share of funds to FSEOG recipients (25 percent of Field 12)	\$ <u>0</u>
(a) Cash outlay contributed	\$ <u>0</u>
(b) Other resources designated	\$ <u>0</u>

Section D. Federal Funds Spent for FSEOG Program

14. Federal share of funds to FSEOG recipients (75 percent of Field 12)	\$ <u>161162</u>
15. Administrative cost allowance claimed (see instructions)	+ \$ <u>0</u>
16. Federal funds spent for FSEOG (fields 14 + 15)	\$ <u>161162</u>

Section E. Use of FSEOG Authorization

17. Expended FSEOG authorization (fields 4 + 8 + 9 + 10 + 16) minus (fields 2 + 3 + 5 + 6 + 7)	\$ <u>125512</u>
18. Unexpended FSEOG authorization (Field 1 - Field 17) (cannot be negative)	\$ <u>0</u>

Section F. Information about FSEOG Disaster-Affected Students

19. Number of disaster-affected students who received FSEOG funds	<u>0</u>
20. Federal Share of FSEOG funds to disaster-affected students	\$ <u>0</u>
21. Total FSEOG Funds to disaster-affected students	\$ <u>0</u>

APPENDIX 4

Fiscal Operations Report, Part V

Name of School Athens State University
 OPEID Number 00100800 State AL

Part V. Federal Work-Study (FWS) Program for Award Year July 1, 2018 through June 30, 2019

Section A. Federal Funds Authorized for FWS

1. Final adjusted FWS authorization \$ 137695

Section B. Federal Funds Available for FWS Expenditures

2. Federal Perkins Federal Capital Contribution funds transferred to and spent in FWS	+\$ <u>0</u>
3. FSEOG funds transferred to and spent in FWS	+\$ <u>0</u>
4. FWS funds transferred to and spent in:	
(a) FSEOG	-\$ <u>34423</u>
(b) Federal Perkins Loan Program	-\$ <u>n/a</u>
(c) Work Colleges Program	-\$ <u>0</u>
5. 2019-20 FWS funds carried back and spent in 2018-19	+\$ <u>0</u>
6. Additional 2019-20 FWS funds carried back and spent for 2019 summer employment	+\$ <u>0</u>
7. 2017-18 funds carried forward and spent in 2018-19	+\$ <u>0</u>
8. 2018-19 funds carried forward to be spent in 2019-20	-\$ <u>7048</u>
9. 2018-19 funds carried back and spent in 2017-18	-\$ <u>0</u>
10. Additional 2018-19 funds carried back and spent for 2018 summer employment	-\$ <u>0</u>
11. Total federal funds available for 2018-19 FWS (fields 1 + 2 + 3 + 5 + 6 + 7) minus (fields 4(a) + 4(b) + 4(c) + 8 + 9 + 10)	\$ <u>96224</u>

Section C. Total Compensation for FWS

12. Total earned compensation for FWS Program	\$ <u>96224</u>
(a) On-campus earned compensation	\$ <u>96224</u>
(b) Off-campus earned compensation for public or private non-profit agencies, excluding amounts reported in Field 12(c)	\$ <u>0</u>
(c) Off-campus earned compensation for agencies that were unable to pay regular nonfederal share and had a federal share up to 90 percent	\$ <u>0</u>
(d) Off-campus earned compensation for private for-profit organizations	\$ <u>0</u>
13. Total institutional share of earned compensation (see instructions)	\$ <u>0</u>

Section D. Funds Spent from Federal Share of FWS

14. Total federal share of FWS earned compensation	\$ <u>96224</u>
(a) Federal share paid at a rate up to 75 percent	\$ <u>0</u>
(b) Federal share paid at a rate up to 100 percent for waivers of nonfederal share	\$ <u>96224</u>
(c) Federal share paid at a rate up to 90 percent for agencies that were unable to pay regular nonfederal share	\$ <u>0</u>
(d) Federal share paid at a rate up to 50 percent for off-campus, private for-profit organizations	\$ <u>0</u>
15. Administrative cost allowance claimed (see instructions)	+\$ <u>0</u>
16. Federal share of Job Location and Development (JLD) Program expenditures	+\$ <u>0</u>
17. Total federal funds spent for FWS (fields 14 + 15 + 16)	\$ <u>96224</u>

APPENDIX 4

Fiscal Operations Report, Part V (continued)

Name of School Athens State University
 DPEID Number 00100800 State AL

Part V. Federal Work-Study (FWS) Program for Award Year July 1, 2018 through June 30, 2019

Section E. Use of FWS Authorization

18. Expended FWS authorization (fields 4(a) + 4(b) + 4(c) + 8 + 9 + 10 + 17) minus (fields 2 + 3 + 5 + 6 + 7) \$ 137695
 19. Unexpended FWS authorization (Field 1 - Field 18) \$ 0

Section F. Information About the Job Location and Development (JLD) Program

20. Total expenditures for the JLD Program \$ 1400
 21. Institutional expenditures for the JLD Program (see instructions) \$ 1400
 22. Number of students for whom jobs were located or developed 19
 23. Total earnings of the students in Field 22 above \$ 30734

Section G. Information About FWS Students Employed in Community Service Activities

24. Number of students in community service employment 5
 25. Federal share of community service earned compensation \$ 14694
 26. Nonfederal share of community service earned compensation \$ 14694

Section H. Information About FWS Students Employed as Reading Tutors of Children or Employed in Family Literacy Activities

27. Number of FWS students employed as reading tutors of children or employed in family literacy activities 5
 28. Federal share of earned compensation for FWS students employed as reading tutors of children or employed in family literacy activities \$ 11130
 (a) Amount of the federal share in Field 28 spent on community service employment \$ 11130
 29. Total earned compensation for FWS students employed as reading tutors of children or employed in family literacy activities \$ 11130

Section I. Information About FWS Students Employed as Mathematics Tutors of Children

30. Number of FWS students employed as mathematics tutors of children 0
 31. Federal share of earned compensation for FWS students employed as mathematics tutors of children \$ 0
 32. Total earned compensation for FWS students employed as mathematics tutors of children \$ 0

Section J. Information About FWS Students in Civic Education and Participation Activities

33. Number of students in civic education and participation activities 0
 34. Federal share spent for students in civic education and participation activities \$ 0
 35. Total spent for students in civic education and participation activities \$ 0

Section K. Information About FWS Disaster-Affected Students

36. Number of disaster-affected students receiving FWS funds 0
 37. Federal share of funds to disaster-affected students \$ 0
 38. Total funds to disaster-affected students \$ 0

APPENDIX 4

Fiscal Operations Report, Part VI

Name of School Athens State University
DPEID Number 00100800 State AL

Part VI. Program Summary for Award Year July 1, 2018 through June 30, 2019

Section A. Distribution of Program Recipients and Expenditures by Type of Student

Taxable and Untaxed Income Category Student Type	Federal Perkins Loan		FSEOG		FWS		Unduplicated Recipients (g)
	Recipients (a)	Funds (b)	Recipients (c)	Funds (d)	Recipients (e)	Funds (f)	
Undergraduate							
Dependent							
1. \$0 - \$5,999	n/a	n/a	4	4750	0	0	4
2. \$6,000 - \$11,999	n/a	n/a	3	3000	1	887	4
3. \$12,000 - \$23,999	n/a	n/a	4	6250	2	4660	5
4. \$24,000 - \$29,999	n/a	n/a	3	3750	0	0	3
5. \$30,000 - \$41,999	n/a	n/a	5	4500	3	10129	8
6. \$42,000 - \$59,999	n/a	n/a	1	1000	2	7341	3
7. \$60,000 - \$69,999	n/a	n/a	0	0	3	5094	3
8. \$70,000 - \$79,999	n/a	n/a	0	0	1	1121	1
9. \$80,000 - \$89,999	n/a	n/a	0	0	0	0	0
10. \$90,000 - \$99,999	n/a	n/a	0	0	1	2601	1
11. \$100,000 and over	n/a	n/a	1	1000	1	5049	2
Undergraduate							
Independent							
12. \$0 - \$1,999	n/a	n/a	24	24500	7	17013	28
13. \$2,000 - \$3,999	n/a	n/a	5	6750	1	3442	6
14. \$4,000 - \$7,999	n/a	n/a	19	20500	2	6638	21
15. \$8,000 - \$11,999	n/a	n/a	24	22509	2	8338	26
16. \$12,000 - \$15,999	n/a	n/a	8	12000	3	14280	10
17. \$16,000 - \$19,999	n/a	n/a	8	7153	3	3786	11
18. \$20,000 - \$24,999	n/a	n/a	7	9250	1	1881	8
19. \$25,000 - \$29,999	n/a	n/a	10	9500	1	3965	11
20. \$30,000 - \$34,999	n/a	n/a	10	11000	0	0	10
21. \$35,000 - \$39,999	n/a	n/a	5	4500	0	0	5
22. \$40,000 and over	n/a	n/a	8	9250	0	0	8
23. Graduate/Professional	n/a	n/a	n/a	n/a	0	0	0
24. TOTAL (fields 1-23)	n/a	n/a	149	161162	34	96225	178
25. Total less-than-full-time students (from fields 1-23)	n/a	n/a	96	105534	22	66089	116
26. Total "Automatic" Zero EFC students (from fields 1-23)	n/a	n/a	62	70162	7	18426	66

APPENDIX 4

Fiscal Operations Report, Part VI (continued)

Name of School Athens State University
 OPEID Number 00100800 State AL

Part VI. Program Summary for Award Year July 1, 2018 through June 30, 2019

Section B. Calculating the Administrative Cost Allowance

Administrative Cost Allowance Worksheet (Worksheet must be retained for audit and program reviews)

Step 1. Calculate the amount spent in 2018-19 on which the administrative cost allowance is based.

1. Total compensation in FWS (amount from Part V, Section C, Field 12)	\$ <u>96224</u>
2. Amount of Federal Perkins Loan funds advanced to students (amount from Part III, Section B, Field 7)	+\$ <u>n/a</u>
3. Total funds to FSEOG recipients (amount from Part IV, Section C, Field 12)	+\$ <u>161162</u>
4. Total amount spent (fields 1 + 2 + 3)	\$ <u>257386</u>

Step 2. Calculate the administrative cost allowance.

Schools whose total amount spent was \$2,750,000 or less

5. Enter total amount spent (Field 4)	\$ <u>257386</u>
6. Multiply	x <u>0.05</u>
7. Total administrative cost allowance - go to Step 3	\$ <u>12869.30</u>

Schools whose total amount spent was more than \$2,750,000 but less than \$5,500,000

8. Enter total amount spent (Field 4)	\$ <u>0</u>
9. Subtract	-\$ <u>2,750,000</u>
10. Expenditures over \$2,750,000 (Field 8 - Field 9)	\$ <u>0</u>
11. Multiply	x <u>0.04</u>
12. Administrative cost allowance on expenditures over \$2,750,000 (Field 10 x Field 11)	\$ <u>0</u>
13. Add administrative cost allowance on expenditures of \$2,750,000 (\$2.75 million x .05)	+\$ <u>137,500</u>
14. Total administrative cost allowance (Field 12 + Field 13) - go to Step 3	\$ <u>0</u>

Schools whose total amount spent was \$5,500,000 or more

15. Enter total amount spent (Field 4)	\$ <u>0</u>
16. Subtract	-\$ <u>5,499,999</u>
17. Expenditures of \$5,500,000 or more (Field 15 - Field 16)	\$ <u>0</u>
18. Multiply	x <u>0.03</u>
19. Administrative cost allowance on expenditures of \$5,500,000 or more (Field 17 x Field 18)	\$ <u>0</u>
20. Add administrative cost allowance on expenditures less than \$5,500,000 ((\$2.75 million x .05) + Field 12)	+\$ <u>247,500</u>
21. Total administrative cost allowance (Field 19 + Field 20) - go to Step 3	\$ <u>0</u>

Step 3. Decide how much administrative cost allowance your school claimed.

22. How much administrative cost allowance did your school claim? (The amount may be the same or less than the amount calculated in Step 2.)	\$ <u>0</u>
23. How much administrative cost allowance did your school claim in each program?	
(a) Federal Perkins Loan (must be the same as Part III, Section B, Field 8)	\$ <u>n/a</u>
(b) FSEOG (must be the same as Part IV, Section D, Field 15)	\$ <u>0</u>
(c) FWS (must be the same as Part V, Section D, Field 15)	\$ <u>0</u>

APPENDIX 5



FEDERAL STUDENT AID "START HERE. GO FURTHER."

UNITED STATES DEPARTMENT OF EDUCATION

FEDERAL STUDENT AID
SCHOOL ELIGIBILITY CHANNEL

PROGRAM PARTICIPATION AGREEMENT

Effective Date of Approval: The date on which this Agreement is signed on behalf of the Secretary of Education
 Approval Expiration Date: September 30, 2024
 Reapplication Date: June 30, 2024

Name of Institution: Athens State University
 Address of Institution: 300 North Beaty Street
 Athens, AL 35611-1999

OPE ID Number: 00100800
 DUNS Number: 040651853

Taxpayer Identification Number (TIN): 630302100

The execution of this Agreement by the Institution and the Secretary is a prerequisite to the Institution's initial or continued participation in any Title IV, HEA Program.

The postsecondary educational institution listed above, referred to hereafter as the "Institution," and the United States Secretary of Education, referred to hereafter as the "Secretary," agree that the Institution may participate in those student financial assistance programs authorized by Title IV of the Higher Education Act of 1965, as amended (Title IV, HEA Programs) indicated under this Agreement and further agrees that such participation is subject to the terms and conditions set forth in this Agreement. As used in this Agreement, the term "Department" refers to the U.S. Department of Education.

SCOPE OF COVERAGE

This Agreement applies to all locations of the Institution as stated on the most current ELIGIBILITY AND CERTIFICATION APPROVAL REPORT issued by the Department. This Agreement covers the Institution's eligibility to participate in each of the following listed Title IV, HEA programs, and incorporates by reference the regulations cited.

- FEDERAL PELL GRANT PROGRAM, 20 U.S.C. §§ 1070a *et seq.*; 34 C.F.R. Part 690.
- FEDERAL DIRECT STUDENT LOAN PROGRAM, 20 U.S.C. §§ 1087a *et seq.*; 34 C.F.R. Part 685.
- FEDERAL PERKINS LOAN PROGRAM, 20 U.S.C. §§ 1087aa *et seq.*; 34 C.F.R. Part 674.
- FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANT PROGRAM, 20 U.S.C. §§ 1070b *et seq.*; 34 C.F.R. Part 676.
- FEDERAL WORK-STUDY PROGRAM, 42 U.S.C. §§ 2751 *et seq.*; 34 C.F.R. Part 675.
- ACADEMIC COMPETITIVENESS GRANT AND NATIONAL SCIENCE AND MATHEMATICS ACCESS TO RETAIN TALENT GRANT PROGRAMS, 20 U.S.C. §§ 1070a-1 *et seq.*; 34 C.F.R. Part 691.
- TEACHER EDUCATION ASSISTANCE FOR COLLEGE AND HIGHER EDUCATION GRANT PROGRAM, 20 U.S.C. §§ 1070g *et seq.*; 34 C.F.R. Part 686.
- IRAQ AND AFGHANISTAN SERVICE GRANT, 20 U.S.C. §§ 1070d *et seq.*

GENERAL TERMS AND CONDITIONS

1. The Institution understands and agrees that it is subject to and will comply with the program statutes and implementing regulations for institutional eligibility as set forth in 34 C.F.R. Part 600 and for each Title IV, HEA program in which it participates, as well as the general provisions set forth in Part F and Part G of Title IV of the HEA, and the Student Assistance General Provisions regulations set forth in 34 C.F.R. Part 668. The recitation of any portion of the statute or regulations in this Agreement does not limit the Institution's obligation to comply with other applicable statutes and regulations.

- a. The Institution certifies that on the date it signs this Agreement, it has a drug abuse prevention program in operation that it has determined is accessible to any officer, employee, or student at the Institution.
- b. The Institution certifies that on the date it signs this Agreement, it is in compliance with the disclosure requirements of Section 485(f) of the HEA (Campus Security Policy and Campus Crime Statistics).

3. The Institution agrees to comply with --

- APPENDIX 5**
- a. Title VI of the Civil Rights Act of 1964, as amended, and the implementing regulations, 34 C.F.R. Parts 100 and 101 (barring discrimination on the basis of race, color or national origin);
 - b. Title IX of the Education Amendments of 1972 and the implementing regulations, 34 C.F.R. Part 106 (barring discrimination on the basis of sex);
 - c. The Family Educational Rights and Privacy Act of 1974 and the implementing regulations, 34 C.F.R. Part 99;
 - d. Section 504 of the Rehabilitation Act of 1973 and the implementing regulations, 34 C.F.R. Part 104 (barring discrimination on the basis of physical handicap); and
 - e. The Age Discrimination Act of 1975 and the implementing regulations, 34 C.F.R. Part 110.
 - f. The Standards for Safeguarding Customer Information, 16 C.F.R. Part 314, issued by the Federal Trade Commission (FTC), as required by the Gramm-Leach-Bliley (GLB) Act, P.L. 106-102. These Standards are intended to ensure the security and confidentiality of customer records and information. The Secretary considers any breach to the security of student records and information as a demonstration of a potential lack of administrative capability as stated in 34 C.F.R. 668.16(c). Institutions are strongly encouraged to inform its students and the Department of any such breaches.
4. The Institution acknowledges that 34 C.F.R. Parts 602 and 667 require accrediting agencies, State regulatory bodies, and the Secretary to share information about institutions. The Institution agrees that the Secretary, any accrediting agency recognized by the Secretary, and any State regulatory body may share or report information to one another about the Institution without limitation.
 5. The Institution acknowledges that the HEA prohibits the Secretary from recognizing the accreditation of any institution of higher education unless that institution agrees to submit any dispute involving the final denial, withdrawal, or termination of accreditation to initial arbitration prior to any other legal action.

**SELECTED PROVISIONS FROM
GENERAL PROVISIONS REGULATIONS, 34 C.F.R. PART 668.14**

An institution's program participation agreement applies to each branch campus and other location of the institution that meets the applicable requirements of this part unless otherwise specified by the Secretary.

(b) By entering into a program participation agreement, an institution agrees that--

(1) It will comply with all statutory provisions of or applicable to Title IV of the HEA, all applicable regulatory provisions prescribed under that statutory authority, and all applicable special arrangements, agreements, and limitations entered into under the authority of statutes applicable to Title IV of the HEA, including the requirement that the institution will use funds it receives under any Title IV, HEA program and any interest or other earnings thereon, solely for the purposes specified in and in accordance with that program;

(2) As a fiduciary responsible for administering Federal funds, if the institution is permitted to request funds under a Title IV, HEA program advance payment method, the institution will time its requests for funds under the program to meet the institution's immediate Title IV, HEA program needs;

(3) It will not request from or charge any student a fee for processing or handling any application, form, or data required to determine a student's eligibility for, and amount of, Title IV, HEA program assistance;

(4) It will establish and maintain such administrative and fiscal procedures and records as may be necessary to ensure proper and efficient administration of funds received from the Secretary or from students under the Title IV, HEA programs, together with assurances that the institution will provide, upon request and in a timely manner, information relating to the administrative capability and financial responsibility of the institution to--

The Secretary;

(i) A guaranty agency, as defined in 34 CFR part 682, that guarantees loans made under the Federal Stafford Loan and Federal PLUS programs for attendance at the institution or any of the institution's branch campuses or other locations;

(ii) The nationally recognized accrediting agency that accredits or preaccredits the institution or any of the institution's branch campuses, other locations, or educational programs;

(iii) The State agency that legally authorizes the institution and any branch campus or other location of the institution to provide postsecondary education; and

(iv) In the case of a public postsecondary vocational educational institution that is approved by a State agency recognized for the approval of public postsecondary vocational education, that State agency;

(5) It will comply with the provisions of § 668.15 relating to factors of financial responsibility;

(6) It will comply with the provisions of § 668.16 relating to standards of administrative capability;

(7) It will submit reports to the Secretary and, in the case of an institution participating in the Federal Stafford Loan, Federal PLUS, or the Federal Perkins Loan Program, to holders of loans made to the institution's students under that program at such times and containing such information as the Secretary may reasonably require to carry out the purpose of the Title IV, HEA programs;

(8) It will not provide any statement to any student or certification to any lender in the case of an FFEL Program loan, or origination record to the Secretary in the case of a Direct Loan Program loan that qualifies the student or parent for a loan or loans in excess of the amount that the student or parent is eligible to borrow in accordance with sections 425(a), 428(a)(2), 428(b)(1)(A) and (B), 428B, 428F and 455(a) of the HEA;

(9) It will comply with the requirements of Subpart D of this part concerning institutional and financial assistance information for students and prospective students;

(10) In the case of an institution that advertises job placement rates as a means of attracting students to enroll in the institution, it will make available to prospective students, at or before the time that those students apply for enrollment--

(i) The most recent available data concerning employment statistics, graduation statistics, and any other information necessary to substantiate the truthfulness of the advertisements; and

(ii) Relevant State licensing requirements of the State in which the institution is located for any job for which an educational program offered by the institution is designed to prepare those prospective students;

(11) In the case of an institution participating in the FFEL Program, the institution will inform all eligible borrowers, as defined in 34 CFR part 682, enrolled in the institution about the availability and eligibility of those borrowers for State grant assistance from the State in which the institution is located, and will inform borrowers from another State of the source for further information concerning State grant assistance from that State;

(12) It will provide the certifications described in paragraph (c) of this section;

(13) In the case of an institution whose students receive financial assistance pursuant to section 484(d) of the HEA, the institution will make available to those students a program proven successful in assisting students in obtaining the recognized equivalent of a high school diploma;

(14) It will not deny any form of Federal financial aid to any eligible student solely on the grounds that the student is participating in a program of study not approved for credit by the institution;

(15) (i) Except as provided under paragraph (b)(15)(ii) of this section, the institution will use a default management plan approved by the Secretary with regard to its administration of the FFEL or Direct Loan programs, or both for at least the first two years of its participation in those programs, if the institution --

(A) Is participating in the FFEL or Direct Loan programs for the first time; or

APPENDIX 5

- (B) Is an institution that has undergone a change of ownership that results in a change in control and is participating in the FFEL or Direct Loan programs.
- (ii) The institution does not have to use an approved default management plan if--
- (A) The institution, including its main campus and any branch campus, does not have a cohort default rate in excess of 10 percent; and
- (B) The owner of the institution does not own and has not owned any other institution that had a cohort default rate in excess of 10 percent while that owner owned the institution.
- (6) For a proprietary institution, the institution will derive at least 10 percent of its revenues for each fiscal year from sources other than Title IV, HEA program funds, as provided in § 668.28(a) and (b), or be subject to sanctions described in § 668.28(c);
- (17) The Secretary, guaranty agencies and lenders as defined in 34 CFR part 682, nationally recognized accrediting agencies, the Secretary of Veterans Affairs, State agencies recognized under 34 CFR part 603 for the approval of public postsecondary vocational education, and State agencies that legally authorize institutions and branch campuses or other locations of institutions to provide postsecondary education, have the authority to share with each other any information pertaining to the institution's eligibility for or participation in the Title IV, HEA programs or any information on fraud and abuse;
- (18) It will not knowingly--
- (i) Employ in a capacity that involves the administration of the Title IV, HEA programs or the receipt of funds under those programs, an individual who has been convicted of, or has pled *nolo contendere* or guilty to, a crime involving the acquisition, use, or expenditure of Federal, State, or local government funds, or has been administratively or judicially determined to have committed fraud or any other material violation of law involving Federal, State, or local government funds;
- (ii) Contract with an institution or third-party servicer that has been terminated under section 432 of the HEA for a reason involving the acquisition, use, or expenditure of Federal, State, or local government funds, or that has been administratively or judicially determined to have committed fraud or any other material violation of law involving Federal, State, or local government funds; or
- (iii) Contract with or employ any individual, agency, or organization that has been, or whose officers or employees have been--
- (A) Convicted of, or pled *nolo contendere* or guilty to, a crime involving the acquisition, use, or expenditure of Federal, State, or local government funds; or
- (B) Administratively or judicially determined to have committed fraud or any other material violation of law involving Federal, State, or local government funds;
- (19) It will complete, in a timely manner and to the satisfaction of the Secretary, surveys conducted as a part of the Integrated Postsecondary Education Data System (IPEDS) or any other Federal collection effort, as designated by the Secretary, regarding data on postsecondary institutions;
- (20) In the case of an institution that is co-educational and has an intercollegiate athletic program, it will comply with the provisions of § 668.48;
- (21) It will not impose any penalty, including, but not limited to, the assessment of late fees, the denial of access to classes, libraries, or other institutional facilities, or the requirement that the student borrow additional funds for which interest or other charges are assessed, on any student because of the student's inability to meet his or her financial obligations to the institution as a result of the delayed disbursement of the proceeds of a Title IV, HEA program loan due to compliance with statutory and regulatory requirements of or applicable to the Title IV, HEA programs, or delays attributable to the institution;
- (22)(i) It will not provide any commission, bonus, or other incentive payment based in any part, directly or indirectly, upon success in securing enrollments or the award of financial aid, to any person or entity who is engaged in any student recruitment or admission activity, or in making decisions regarding the award of title IV, HEA program funds.
- (A) The restrictions in paragraph (b)(22) of this section do not apply to the recruitment of foreign students residing in foreign countries who are not eligible to receive Federal student assistance.
- (B) For the purpose of paragraph (b)(22) of this section, an employee who receives multiple adjustments to compensation in a calendar year and is engaged in any student enrollment or admission activity or in making decisions regarding the award of title IV, HEA program funds is considered to have received such adjustments based upon success in securing enrollments or the award of financial aid if those adjustments create compensation that is based in any part, directly or indirectly, upon success in securing enrollments or the award of financial aid.
- (ii) Notwithstanding paragraph (b)(22)(i) of this section, eligible institutions, organizations that are contractors to eligible institutions, and other entities may make--
- (A) Merit-based adjustments to employee compensation provided that such adjustments are not based in any part, directly or indirectly, upon success in securing enrollments or the award of financial aid; and
- (B) Profit-sharing payments so long as such payments are not provided to any person or entity engaged in student recruitment or admission activity or in making decisions regarding the award of title IV, HEA program funds.
- (iii) As used in paragraph (b)(22) of this section,
- (A) *Commission, bonus, or other incentive payment* means a sum of money or something of value, other than a fixed salary or wages, paid to or given to a person or an entity for services rendered.
- (B) *Securing enrollments or the award of financial aid* means activities that a person or entity engages in at any point in time through completion of an educational program for the purpose of the admission or matriculation of students for any period of time or the award of financial aid to students.
- (1) These activities include contact in any form with a prospective student, such as, but not limited to--contact through preadmission or advising activities, scheduling an appointment to visit the enrollment office or any other office of the institution, attendance at such an appointment, or involvement in a prospective student's signing of an enrollment agreement or financial aid application.
- (2) These activities do not include making a payment to a third party for the provision of student contact information for prospective students provided that such payment is not based on--
- (i) Any additional conduct or action by the third party or the prospective students, such as participation in preadmission or advising activities, scheduling an appointment to visit the enrollment office or any other office of the institution or attendance at such an appointment, or the signing, or being involved in the signing, of a prospective student's enrollment agreement or financial aid application; or
- (ii) The number of students (calculated at any point in time of an educational program) who apply for enrollment, are awarded financial aid, or are enrolled for any period of time, including through completion of an educational program.
- (C) *Entity or person engaged in any student recruitment or admission activity or in making decisions about the award of financial aid* means--
- (1) With respect to an entity engaged in any student recruitment or admission activity or in making decisions about the award of financial aid, any institution or organization that undertakes the recruiting or the admitting of students or that makes decisions about and awards title IV, HEA program funds; and
- (2) With respect to a person engaged in any student recruitment or admission activity or in making decisions about the award of financial aid, any employee who undertakes recruiting or admitting of students or who makes decisions about and awards title IV, HEA program funds, and any higher level employee with responsibility for recruitment or admission of students, or making decisions about awarding title IV, HEA program funds.
- (D) *Enrollment* means the admission or matriculation of a student into an eligible institution.
- (23) It will meet the requirements established pursuant to Part H of Title IV of the HEA by the Secretary and nationally recognized accrediting agencies;
- (24) It will comply with the requirements of § 668.22;
- (25) It is liable for all--
- (i) Improperly spent or unspent funds received under the Title IV, HEA programs, including any funds administered by a third-party servicer; and
- (ii) Returns any title IV, HEA program funds that the institution or its servicer may be required to make;
- (26) If an educational program offered by the institution is required to prepare a student for gainful employment in a recognized occupation, the institution must--
- (i) Demonstrate a reasonable relationship between the length of the program and entry level requirements for the recognized occupation for which the

program prepares the student. The Secretary considers the relationship to be reasonable if the number of clock hours provided in the program does not exceed by more than 50 percent the minimum number of clock hours required for training in the recognized occupation for which the program prepares the student, as established by the State in which the institution is located, if the State has established such a requirement, or as established by any Federal agency;

(ii) Establish the need for the training for the student to obtain employment in the recognized occupation for which the program prepares the student; and

(iii) Provide for that program the certification required in § 668.414.

(iv) In the case of an institution participating in a Title IV, HEA loan program, the institution --

(i) Will develop, publish, administer, and enforce a code of conduct with respect to loans made, insured or guaranteed under the Title IV, HEA loan programs in accordance with 34 CFR 601.21; and

(ii) Must inform its officers, employees, and agents with responsibilities with respect to loans made, insured or guaranteed under the Title IV, HEA loan programs annually of the provisions of the code required under paragraph (b)(27) of this section;

(28) For any year in which the institution has a preferred lender arrangement (as defined in 34 CFR 601.2(b)), it will at least annually compile, maintain, and make available for students attending the institution, and the families of such students, a list in print or other medium, of the specific lenders for loans made, insured, or guaranteed under Title IV, of the HEA or private education loans that the institution recommends, promotes, or endorses in accordance with such preferred lender arrangement. In making such a list, the institution must comply with the requirements in 34 CFR 682.212(h) and 34 CFR 601.10;

(29) (i) It will, upon the request of an enrolled or admitted student who is an applicant for a private education loan (as defined in 34 CFR part 601.2(b)), provide to the applicant the self-certification form required under 34 CFR 601.11(d) and the information required to complete the form, to the extent the institution possesses such information, including --

(A) The applicant's cost of attendance at the institution, as determined by the institution under part F of Title IV, of the HEA;

(B) The applicant's estimated financial assistance, including amounts of financial assistance used to replace the expected family contribution as determined by the institution in accordance with Title IV, for students who have completed the Free Application for Federal Student Aid; and

(C) The difference between the amounts under paragraphs (b)(29)(i)(A) and (29)(i)(B) of this section, as applicable.

(ii) It will, upon the request of the applicant, discuss with the applicant the availability of Federal, State, and institutional student financial aid;

(30) The institution --

(i) Has developed and implemented written plans to effectively combat the unauthorized distribution of copyrighted material by users of the institution's network, without unduly interfering with educational and research use of the network, that include --

(A) The use of one or more technology-based deterrents;

(B) Mechanisms for educating and informing its community about appropriate versus inappropriate use of copyrighted material, including that described in § 668.43(a)(10);

(C) Procedures for handling unauthorized distribution of copyrighted material, including disciplinary procedures; and

(D) Procedures for periodically reviewing the effectiveness of the plans to combat the unauthorized distribution of copyrighted materials by users of the institution's network using relevant assessment criteria. No particular technology measures are favored or required for inclusion in an institution's plans, and each institution retains the authority to determine what its particular plans for compliance with paragraph (b)(30) of this section will be, including those that prohibit content monitoring; and

(ii) Will, in consultation with the chief technology officer or other designated officer of the institution--

(A) Periodically review the legal alternatives for downloading or otherwise acquiring copyrighted material;

(B) Make available the results of the review in paragraph (b)(30)(ii)(A) of this section to its students through a Web site or other means; and

(C) To the extent practicable, offer legal alternatives for downloading or otherwise acquiring copyrighted material, as determined by the institution; and

(31) The institution will submit a teach-out plan to its accrediting agency in compliance with 34 CFR 602.24(c), and the standards of the institution's accrediting agency upon the occurrence of any of the following events:

(i) The Secretary initiates the limitation, suspension, or termination of the participation of an institution in any Title IV, HEA program under 34 CFR 600.41 or subpart G of this part or initiates an emergency action under § 668.83.

(ii) The institution's accrediting agency acts to withdraw, terminate, or suspend the accreditation or preaccreditation of the institution.

(iii) The institution's State licensing or authorizing agency revokes the institution's license or legal authorization to provide an educational program.

(iv) The institution intends to close a location that provides 100 percent of at least one program.

(v) The institution otherwise intends to cease operations.

(c) In order to participate in any Title IV, HEA program (other than the LEAP and NEISP programs), the institution must certify that it--

(1) Has in operation a drug abuse prevention program that the institution has determined to be accessible to any officer, employee, or student at the institution; and

(2)(i) Has established a campus security policy in accordance with section 485(f) of the HEA; and

(ii) Has complied with the disclosure requirements of § 668.47 as required by section 485(f) of the HEA.

(d)(1) The institution, if located in a State to which section 4(b) of the National Voter Registration Act (42 U.S.C. 1973gg-2(b)) does not apply, will make a good faith effort to distribute a mail voter registration form, requested and received from the State, to each student enrolled in a degree or certificate program and physically in attendance at the institution, and to make those forms widely available to students at the institution.

(2) The institution must request the forms from the State 120 days prior to the deadline for registering to vote within the State. If an institution has not received a sufficient quantity of forms to fulfill this section from the State within 60 days prior to the deadline for registering to vote in the State, the institution is not liable for not meeting the requirements of this section during that election year.

(3) This paragraph applies to elections as defined in Section 301(1) of the Federal Election Campaign Act of 1971 (2 U.S.C. 431(1)), and includes the election for Governor or other chief executive within such State.

(e)(1) A program participation agreement becomes effective on the date that the Secretary signs the agreement.

(2) A new program participation agreement supersedes any prior program participation agreement between the Secretary and the institution.

(f)(1) Except as provided in paragraphs (g) and (h) of this section, the Secretary terminates a program participation agreement through the proceedings in subpart G of this part.

(2) An institution may terminate a program participation agreement.

(3) If the Secretary or the institution terminates a program participation agreement under paragraph (f) of this section, the Secretary establishes the termination date.

(g) An institution's program participation agreement automatically expires on the date that--

(1) The institution changes ownership that results in a change in control as determined by the Secretary under 34 CFR part 600; or

(2) The institution's participation ends under the provisions of § 668.26(a)(1), (2), (4), or (7).

(h) An institution's program participation agreement no longer applies to or covers a location of the institution as of the date on which that location ceases to be a part of the participating institution.

WILLIAM D. FORD FEDERAL DIRECT LOAN PROGRAM

APPENDIX 5

If an institution participates in the William D. Ford Federal Direct Loan (Direct Loan) Program, the institution and its representatives shall comply with the statute, guidelines, and regulations governing the Title IV, Part D, William D. Ford Federal Direct Loan Program as required by 20 U.S.C. §§ 1087a *et seq.* (Part C) and 34 C.F.R. Part 685.

The institution will:

Provide for the establishment and maintenance of a Direct Loan Program at the Institution that will:

Identify eligible students who seek student financial assistance in accordance with Section 484 of the Higher Education Act of 1965, as amended (the HEA).

Estimate the need of students as required under Title IV, Part F of the HEA.

Provide a certification statement of eligibility for students to receive loans that will not exceed the annual or aggregate limits, except the Institution may exercise its authority, under exceptional circumstances identified by the Secretary, to refuse to certify a statement that permits a student to receive a loan, or certify a loan amount that is less than the student's determination of need, if the reason for such action is documented and provided in written form to a student.

Establish a schedule for disbursement of loan proceeds to meet the requirements of Section 428G of the HEA.

Provide timely and accurate information to the Secretary concerning 1) the status of borrowers while students are in attendance, any new information pertaining to the status of student borrowers of which the Institution becomes aware after the student leaves the Institution, and 2) the utilization of Federal funds under Title IV, Part D of the HEA at such times and in such manner as prescribed by the Secretary.

2. Comply with requirements established by the Secretary relating to student loan information with respect to the Direct Loan Program.
3. Provide that students at the Institution and their parents (with respect to such students) will be eligible to participate in the programs under Title IV, Part B of the HEA, Federal Family Education Loan programs, at the discretion of the Secretary for the period during which such Institution participates in the Direct Loan Program, except that a student or parent may not receive loans under both Title IV, Part B and Part D of the HEA for the same period of enrollment.
4. Provide for the implementation of a quality assurance system, as established by the Secretary and developed in consultation with Institutions of higher education, to ensure that the Institution is complying with program requirements and meeting program objectives.
5. Provide that the Institution will not charge any fees of any kind, regardless of how they are described, to student or parent borrowers for loan application, or origination activities (if applicable), or the provision and processing of any information necessary for a student or parent to receive a loan under Title IV, Part D of the HEA.
6. Provide that the Institution will originate loans to eligible students and parents in accordance with the requirements of Title IV, Part D of the HEA and use funds advanced to it solely for that purpose (Option 2 only).
7. Provide that the note or evidence of obligation of the loan shall be the property of the Secretary (Options 2 and 1 only).
8. Comply with other provisions as the Secretary determines are necessary to protect the interest of the United States and to promote the purposes of Title IV, Part D of the HEA.
9. Accept responsibility and financial liability stemming from its failure to perform its functions under this Program Participation Agreement.

CERTIFICATIONS REQUIRED FROM INSTITUTIONS

The Institution should refer to the regulations cited below. Signature on this Agreement provides for compliance with the certification requirements under 34 C.F.R. Part 82, "New Restrictions on Lobbying," 34 C.F.R. Part 84, "Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)," 34 C.F.R. Part 85, "Governmentwide Debarment and Suspension (Nonprocurement)," and 34 C.F.R. Part 86, "Drug and Alcohol Abuse Prevention." Breach of any of these certifications constitutes a breach of this Agreement.

PART 1 CERTIFICATION REGARDING LOBBYING; DRUG-FREE WORKPLACE; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG AND ALCOHOL ABUSE PREVENTION

1. Lobbying

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 C.F.R. Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 C.F.R. Part 82, Sections 82.105, and 82.110, the undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The Institution shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

2a. Drug-Free Workplace (Grantees Other Than Individuals)

APPENDIX 5

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 C.F.R. Part 84, Subpart B, for grantees, as defined at 34 C.F.R. Part 84, Sections 84.200 through 84.230 -

The Institution certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a drug-free workplace statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an on-going drug-free awareness program to inform employees about-
 - (1) The dangers of drug abuse in the workplace;
 - (2) The Institution's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -
 - (1) Abide by the terms of the statement, and
 - (2) Notify the employer in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace no more than five calendar days after such conviction;
- (e) Notifying the agency, in writing, within 10 calendar days after receiving notice under this subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1972, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

2b. Drug-Free Workplace (Grantees Who Are Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 C.F.R. Part 84, Subpart C, for recipients who are individuals, as defined at 34 C.F.R. Part 84, Section 84.300 -

1. As a condition of the grant, the Institution certifies that it will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity related to the award; and
2. If any officer or owner of the Institution is convicted of a criminal drug offense resulting from a violation occurring during the conduct of any award activity, the Institution will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Notice shall include the identification number(s) of each affected grant.

3. Debarment, Suspension, and Other Responsibility Matters

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 C.F.R. Part 85, for prospective participants in primary covered transactions as defined at 34 C.F.R. Part 85, Sections 85.105 and 85.110, the Institution certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; violation of Federal or State antitrust statutes; commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects their present responsibility.
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default.

4. Drug and Alcohol Abuse Prevention

As required by the Drug-Free Schools and Communities Act Amendments of 1989, which added section 1213 to the Higher Education Act, and implemented at 34 C.F.R. Part 86, the undersigned Institution certifies that it has adopted and implemented a drug prevention program for its students and employees that, at a minimum, includes--

1. The annual distribution in writing to each employee, and to each student who is taking one or more classes for any kind of academic credit except for continuing education units, regardless of the length of the student's program of study, of:
 - Standards of conduct that clearly prohibit, at a minimum, the unlawful possession, use, or distribution of illicit drugs and alcohol by students and employees on its property or as part of any of its activities.
 - A description of the applicable legal sanctions under local, State or Federal law for the unlawful possession or distribution of illicit drugs and alcohol.
 - A description of the health risks associated with the use of illicit drugs and the abuse of alcohol.
 - A description of any drug or alcohol counseling, treatment, or rehabilitation or re-entry programs that are available to employees or students.
 - A clear statement that the Institution will impose disciplinary sanctions on students and employees (consistent with local, State and Federal law), and a description of those sanctions, up to and including expulsion or termination of employment and referral for prosecution, for violation of the standards of conduct. A disciplinary sanction may include the completion of an appropriate rehabilitation program.
2. A biennial review by the Institution of its program to:
 - Determine its effectiveness and implement changes to the program if they are needed.
 - Ensure that its disciplinary sanctions are consistently enforced.

APPENDIX 5



**APPENDIX 5
PART 2 CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION -
- LOWER TIER COVERED TRANSACTIONS**

The Institution is to obtain the signatures of Lower Tier Contractors on reproduced copies of the certification below, and retain the signed certification(s) in the Institution's files.

**CERTIFICATION BY LOWER TIER CONTRACTOR
(Before Completing Certification, Read Instructions for This Part 3, below)**

- (1) The prospective lower tier participant certifies by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal Department or Agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name of Lower Tier Organization

PR/Award Number or Project Name

Name of Authorized Representative

Title of Authorized Representative

Signature of Authorized Representative

Date

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

NOTE: A completed copy of the "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions" form must be retained by the Institution. The original blank certification must be returned with the PPA.

PART 3 CERTIFICATION REGARDING GAINFUL EMPLOYMENT PROGRAMS

A list of the reported Title IV eligible educational programs that the institution offers that are required to prepare students for gainful employment in a recognized occupation ("gainful employment programs") is included as part of the Eligibility and Certification Approval Report (ECAR) that is a part of this Program Participation Agreement. By signing this Program Participation Agreement, the institution certifies that:

1. the list of gainful employment programs it offers is accurate and complete;
 2. each of the gainful employment programs is approved by a recognized accrediting agency or is otherwise included in the institution's accreditation by its recognized accrediting agency;
 3. each of the gainful employment programs it offers is programmatically accredited, if such accreditation is required by a Federal governmental entity or a State where the institution or one of its additional locations is required to obtain State approval pursuant to 34 C.F.R. §600.9;
 4. each gainful employment program in a State where the institution or one of its additional locations is located satisfies the licensure or certification requirements that are needed for a student who completes the gainful employment program to qualify to take any licensure or certification exam in that State that is needed for the student to practice or find employment in an occupation that the gainful employment program prepares the student to enter; and
- for a gainful employment program for which the institution is establishing initial eligibility for Title IV, HEA program funds, the program is not substantially similar to a program offered by the institution that in the prior three years, became ineligible for Title IV, HEA program funds under the debt-to-earnings rates measure or was failing, or in the zone with respect to, the debt-to-earnings rates measure and was voluntarily discontinued by the institution.

APPENDIX 5

IN WITNESS WHEREOF

the parties hereto have caused this Agreement to be executed by their duly authorized representatives.

Signature of Institution's
Chief Executive Officer:

Date: _____

Print Name and Title:

For the Secretary:

U.S. Department of Education

Date: _____

APPENDIX 5



FEDERAL STUDENT AID "START HERE. GO FURTHER."

UNITED STATES DEPARTMENT OF EDUCATION

FEDERAL STUDENT AID
SCHOOL ELIGIBILITY CHANNEL
SCHOOL PARTICIPATION TEAM
ATLANTA TEAM

Dr. Ronald R. Ingle
Interim President
Athens State University
300 North Beatty Street
Athens, AL 35611-1999

12/03/2018

OPE ID 00100800

Dear Dr. Ingle:

The Atlanta School Participation Team has completed its review of Athens State University's (Institution) application to participate in the Title IV, HEA programs.

Our analysis of the materials which you submitted, indicates that the Institution meets the minimum requirements of institutional eligibility, administrative capability, and financial responsibility as set forth in 34 CFR Parts 600 and 668.

To complete the recertification process, the Institution must print, review, sign and return two copies of the Program Participation Agreement (PPA) to the following address:

United States Department of Education Federal Student Aid, Schools Channel Attention: Atlanta School Participation Team 61 Forsyth St. S.W. Room 18T40 Atlanta, GA 30303-8931
--

After the signed copies of the PPA are received from you, the Atlanta School Participation Team will generate an Eligibility and Certification Approval Report (ECAR). The ECAR will summarize the critical elements of the Institution's approved application. The ECAR will also identify the Institution's highest level of offering, any nondegree or short term training programs and any additional locations which are Title IV, HEA eligible.

Upon execution of the PPA by the Secretary, the Institution shall be certified to participate in Title IV, HEA programs until September 30, 2024. The Atlanta School Participation Team will notify the respective Federal Student Aid (FSA) program offices of the Institution's eligibility to receive Title IV funds. The Institution has thirty days from the date of this letter to sign and return two copies of the PPA. The Institution's failure to respond within the allotted time frame will constitute a withdrawal of the Institution's application from consideration.

Should you have any questions, please contact the Atlanta School Participation Team at (404) 974-9303.

Sincerely,

Christopher Miller
Division Director
School Participation Division, SC
Atlanta Team

cc: Mr. Mitchell O. Bazzel, Director, Student Financial Aid

APPENDIX 5



FEDERAL STUDENT AID "GET START HERE! GO FURTHER!"

UNITED STATES DEPARTMENT OF EDUCATION

FEDERAL STUDENT AID
SCHOOL ELIGIBILITY CHANNEL
SCHOOL PARTICIPATION TEAM
ATLANTA TEAM

12/20/2018

OPE ID 00100800

Dr. Ronald R. Ingle
Interim President
Athens State University
300 North Beaty Street
Athens, AL 35611-1999

Dear Dr. Ingle:

The Atlanta School Participation Team is pleased to inform you that, based upon the information included in your Application for Approval to Participate in Federal Student Financial Aid Programs, the Secretary of Education (Secretary) has determined that Athens State University (Institution) satisfies the definition of an eligible institution under the Higher Education Act of 1965, as amended (HEA). Athens State University will be listed in the next edition of the Directory of Postsecondary Institutions published by the U.S. Department of Education (Department).

OPE ID NUMBER

The OPE ID Number 00100800 is a unique identifier for the Institution. The OPE ID Number will also be the Institution's identification number for the Title IV, HEA programs. Please use the OPE ID Number in all communications with the Department.

ELIGIBILITY AND CERTIFICATION APPROVAL REPORT

Please print a copy of the Eligibility and Certification Approval Report (ECAR) Together, the Program Participation Agreement (PPA) that has been signed on behalf of the Secretary and the ECAR constitute the Atlanta School Participation Team's determination that the Institution has qualified to participate in programs under the Higher Education Act of 1965, as amended (HEA) and the Federal student financial assistance programs (Title IV, HEA programs).

The Institution must retain the ECAR and the PPA together.

The ECAR contains the most critical of the data elements that form the basis of the Institution's approval, and also a list of the highest level of offering, any nondegree or short term training programs, and any additional locations that provide 50 percent or more of an educational program that have been approved for the Title IV, HEA programs. The Institution may not award, distribute or disburse any Title IV, HEA program funds for any educational or training program that is beyond the scope of the approval contained in the ECAR, nor for any additional location providing 50 percent or more of an educational program that has not been approved and is not listed on the ECAR.

- In order to comply with the requirements of 34 CFR 668.8(1), some vocational or nondegree programs may have been approved for fewer credit hours than requested in the Institution's application.
- Vocational and nondegree programs that do not meet the requirements of 34 CFR Parts 600 and 668 have not been approved and are marked in the ECAR as not approved.
- The listing of Vocational Programs in the ECAR contains those nondegree programs that the Atlanta School Participation Team has determined are eligible programs for participation in the Title IV, HEA programs.
- The ECAR contains a list of HEA programs other than Title IV, HEA programs, for which the Institution is eligible to apply. This list does not mean that the Institution will automatically be eligible to participate in or receive funds under any HEA competitive grant program. Information concerning applications for, and the individual requirements of, the competitive grant program can be obtained from:

Deputy Assistant Secretary
Office of Higher Education Programs
U.S. Department of Education
400 Maryland Avenue, S.W.
Washington, DC 20202-5140

PROGRAM PARTICIPATION AGREEMENT

The PPA contains the agreement between the Institution and the Secretary concerning the institution's participation in the Federal student financial assistance programs (Title IV, HEA programs).

CERTIFICATION FOR TITLE IV, HEA PROGRAMS

As explained in the PPA, Title IV, HEA programs administered by participating educational institutions are subject to applicable laws, regulations, and guidelines. Listed below are the appropriate telephone numbers for further information on the HEA programs:

- Federal Pell Grant Program (800) 474-7268
- Federal Family Education Loan Program (202) 377-4008
- Federal Direct Student Loan Program (800) 848-0978
If the Institution wishes to begin participating in the Direct Loan Program or to request a change in its funding method, contact COD School Relations at the Federal Direct Student Loan Program number above or send an email to codsupport@nces-inc.com
- Federal Campus-Based Programs (877) 801-7168
The Federal Campus-Based Programs are (a) the Federal Supplemental Educational Opportunity Grant Program, (b) the Federal Work-Study Program, and (c) the Federal Perkins Loan Program. To obtain funding under any or all of these programs, the Institution must file the Fiscal Operations Report and Application to Participate (FISAP) annually. FISAP packages are typically available at the end of July each year and the due date for electronic submission of this data is generally a postmark or transmission date of October 1. Please keep in mind that the October 1 submission is to obtain funding for the Award Year that begins the following July 1.

APPENDIX 5
 If the Institution does not already participate in the Title IV, HEA programs, the Institution must complete Fundamentals of Title IV Administration (Precertification) Training no later than 12 months after the Institution executed the PPA. Completion of this training must be not earlier than one year before beginning to participate in any Title IV, HEA program for which the Institution has not previously participated. If you wish to register for Fundamentals of Title IV Administration (Precertification) Training, please register at <http://www.register123.com/event/profile/web/index.cfm?PKwebID=0x112117625&varPage=info>. For information concerning the training, contact the Atlanta Team at the telephone number listed later in this letter.

Participating educational institutions will be reviewed at least once every six years to determine whether the institutions remain administratively capable and financially responsible to administer Title IV programs and funds.

REPORTING AND REAPPLICATION REQUIREMENTS

The institution must report promptly to the Department certain changes and actions that affect the Institution's participation approval, as specified in 34 CFR 600 and 668, including, but not limited to:

- Change of name and/or address;
- New contract or significant modification of existing contract with a third party service;
- Change in exercise of a person's substantial control over the Institution, e.g., a change in the chief executive officer or members of the board of trustees or board of directors.
- Change in the way the Institution measures educational program length;
- Change in the level of course offerings;
- Additions and/or closures of non-main campus locations that offer at least 50% of an educational program;
- Change of accrediting agency;
- Change of the State agency that confers legal authority on the Institution to offer programs of postsecondary education; or
- Change in ownership *whether or not* that ownership change results in a change in control of the Institution.

If the Institution fails to report any such changes within ten days after the change occurs, the ability of the Institution to administer the Title IV student financial assistance programs properly will be called into question. As a consequence, we will consider whether it is necessary to monitor the Institution's receipt of Federal funds more closely. Failure to report changes within the time frame required may also result in an adverse action being taken against the Institution in accordance with 34 CFR 668, Subpart G.

Automatic Termination of Approval

This Approval for Institutional Participation automatically terminates on the happening of any of the following events:

- September 30, 2024
- The date the Institution loses the legal authority to offer programs of postsecondary education in the State in which it is located;
- The date the Institution loses accreditation from its designated primary accrediting agency;
- The date the Institution ceases to offer all approved postsecondary instruction;
- The date the Institution merges with another institution;
- The date the Institution undergoes a change in ownership resulting in a change of control;
- The date the Institution files for bankruptcy; or
- The date the Institution otherwise ceases to meet the definition of an eligible institution of higher education.

Please send all information or documentation required by this letter to:

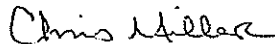
United States Department of Education Federal Student Aid, Schools Channel Attention: Atlanta School Participation Team 61 Forsyth St. S.W. Room 18T40 Atlanta, GA 30303-8931
--

One of the institutional eligibility requirements is that the institution must admit as regular students only persons who have a high school diploma; have the recognized equivalent of a high school diploma; or are beyond the age of compulsory school attendance in the State in which the institution is physically located (see 34 CFR 600.4, 5 or 6). This means if the student is not yet beyond the age of compulsory school attendance in the State in which the institution is physically located, the institution can only enroll the individual as a regular student if he or she has a high school diploma or its equivalent.

One of the student eligibility requirements is that an eligible student is one who is not enrolled in either an elementary or secondary school (see 34 CFR 668.32). This means that an institution cannot accept as a regular student at this school, an individual who is also enrolled at the same time in elementary or high school.

The telephone number for the Atlanta Team is (404) 974-9303. The fax number is (404) 974-9322.

Sincerely,



Christopher Miller
 Division Director
 School Participation Division, SC
 Atlanta Team

cc: Mr. Mitchell O. Bazzel, Director, Student Financial Aid
 Southern Association of Colleges and Schools Commission on Colleges
 Guarantee Agency
 AL Commission On Higher Education
 AL State Board of Education



APPENDIX 5
START HERE
GO FURTHER
FEDERAL STUDENT AID

UNITED STATES DEPARTMENT OF EDUCATION
SCHOOL PARTICIPATION MANAGEMENT DIVISION
ELIGIBILITY AND CERTIFICATION APPROVAL REPORT

DATE PRINTED: 01/03/2019

PAGE A - 1

NAME AND ADDRESS OF INSTITUTION: Athens State University
 300 North Beatty Street
 Athens, AL 35611-1999

TYPE OF INSTITUTION: Public

CONGRESSIONAL DISTRICT: 05
 DEPARTMENT REGION: 04
 SCHOOL PARTICIPATION TEAM: 04

ACTION DATE: 11/13/2018
 ACTION: Reapprove Elig/Full Cert

OPE ID: 00100800
 TTN: 630302100
 IPEDS ID: 100812
 DUNS NBR: 040651853

FEDERAL PELL GRANT ID: 001008
 FEDERAL FAMILY EDUCATION LOAN ID: 001008
 FEDERAL DIRECT STUDENT LOAN ID: G01008
 FEDERAL PERKINS LOAN ID: 000012
 FEDERAL SCHOOL CODE: 001008
 FEDERAL WORK STUDY ID: 000012
 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANT ID: 000012

ACADEMIC CALENDAR: Semester Hours
 EDUCATIONAL PROGRAM LEVELS OFFERED:
 Bachelor's Degree
 Master's Degree or Doctor's Degree

ELIGIBLE: Y
 INITIAL APPROVAL DATE: 12/01/1965
 CERTIFIED: Certified
 LOAN DEFERMENT: Y
 PROGRAM PARTICIPATION AGREEMENT
 EFFECTIVE DATE: 12/20/2018
 EXPIRATION DATE: 09/30/2024

WAIVER(S):
 *** End of Waivers ***

THE INSTITUTION IS ELIGIBLE TO APPLY FOR PARTICIPATION IN THE FOLLOWING PROGRAMS AUTHORIZED UNDER THE HIGHER EDUCATION ACT OF 1965, AS AMENDED:

TITLE I: Y	TITLE IV: Y	TITLE VII: Y	TITLE X: Y	TITLE XIII: Y
TITLE II: Y	TITLE V: Y	TITLE VIII: Y	TITLE XI: Y	TITLE XIV: Y
TITLE III: Y	TITLE VI: Y	TITLE XI: Y	TITLE XII: Y	TITLE XV: Y

Program: TEACH GRANT Certified: Y DATE: 07/15/2008

TITLE IV STUDENT FINANCIAL ASSISTANCE PROGRAMS

PROGRAM	CERTIFIED	APPROVAL DATE	PROGRAM	CERTIFIED	APPROVAL DATE
FWS Com Serv	Y	12/01/1965	FWS Priv Sec Empl	Y	03/20/1989
FWS Job Loc Dev	Y	03/20/1989	FFEL Staff	N	
FFEL Staff Unsub	N		FFEL PLUS	N	
FPerkins	Y	12/01/1965	FSEOG	Y	12/01/1965
FPell	Y	07/01/1972	FDSLPL Staff	Y	04/01/1995
FDSLPL Staff Unsub	Y	04/01/1995	FDSLPL PLUS	Y	04/01/1995

**** End of Section A ****



APPENDIX 5
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UNITED STATES DEPARTMENT OF EDUCATION

SCHOOL PARTICIPATION MANAGEMENT DIVISION
ELIGIBILITY AND CERTIFICATION APPROVAL REPORT

DATE PRINTED: 01/03/2019

ACCREDITATION SECTION

PAGE B - 1

INSTITUTION NAME : Athens State University
OPE ID : 001008 00
INSTITUTION TYPE : Public

ACCREDITATION

<u>ACCREDITING AGENCY</u>	<u>DESIGNATION</u>	<u>SCOPE</u>	<u>EFFECTIVE YEAR</u>	<u>NUMBER OF YEARS</u>
Southern Association of Colleges and Schools Commission on Colleges	Primary	Institutional	2011	10
**** End of Accreditation Section ****				



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STATE AUTHORIZATION SECTION

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INSTITUTION NAME : Athens State University

OPE ID : 001008 00

INSTITUTION TYPE : Public

STATE AUTHORIZATION

STATE AGENCY

AL Commission On Higher Education

AL State Board of Education

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OFFICIALS SECTION

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INSTITUTION NAME : Athens State University

OPE ID : 001008 00

INSTITUTION TYPE : Public

OFFICIALS

<u>NAME AND ADDRESS</u>	<u>TITLE</u>	<u>PHONE FAX</u>	<u>E-MAIL</u>
Ingle, Ronald R 300 North Beaty Street Athens, AL 35611	Interim President	(256) 233-8201 (256) 233-8201	ron.ingle@ athens.edu
Bazzel, Mitchell O 300 North Beaty Street Athens, AL 35611	Director, Student Financial Aid	(256) 233-8161 (256) 233-8178	mitchell.bazzel@ athens.edu
McCoy, Mike CPA 300 North Beaty Street Athens, AL 35611	Vice President of Financial Affairs	(256) 216-3303 (256) 233-3303	Mike.mccoy@ athens.edu

**** End of Officials Section ****



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ADDITIONAL LOCATIONS SECTION

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INSTITUTION NAME : Athens State University

OPE ID : 001008 00

INSTITUTION TYPE : Public

ADDITIONAL LOCATIONS

<u>OPE ID</u>	<u>NAME AND ADDRESS</u>	<u>APPROVED FOR CERTIFICATION</u>	<u>INITIAL APPROVAL DATE</u>
00100801	Athens State University - Redstone Arsenal Extension Snooper Street Building 3218 Redstone Arsenal, AL 35898-1999	Y	07/02/1997
00100802	Athens State University - Wallace State CC Selma Center 3000 Earl Goodwin Parkway Selma, AL 36703-2808	N	12/21/2005
00100803	Athens State University - Wallace State CC Hanceville Center 801 Main Street Hanceville, AL 35077-2000	Y	12/21/2005
00100804	Athens State University - Northeast State CC Center 138 Lowell Barron Highway West Rainsville, AL 35986-2000	Y	12/21/2005
00100805	Athens State University - Northwest - Shoals CC Center 800 George Wallace Drive Muscle Shoals, AL 35662-2000	Y	12/21/2005
00100806	Athens State University - Snead State CC Center 220 North Walnut Street Boaz, AL 35957-0734	N	12/21/2005
00100807	Athens State University - Alabama Center for the Arts 133 Second Avenue Decatur, AL 35601-9999	Y	10/10/2012

**** End of Additional Locations Section ****



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EDUCATIONAL PROGRAMS SECTION

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INSTITUTION NAME : Athens State University

OPE ID : 001008 00

INSTITUTION TYPE : Public

EDUCATIONAL PROGRAMS

<u>CIP</u>	<u>INSTITUTION'S PROGRAM NAME</u>	<u>APPROVED FOR CERTIFICATION</u>	<u>FULL CREDIT TO DEGREE</u>	<u>INITIAL APPROVAL</u>	<u>CREDIT HOURS</u>	<u>TYPE</u>	<u>CLOCK HOURS</u>	<u>DURATION IN WEEKS</u>
**** End of Educational Programs Section ****								



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ELIGIBILITY AND CERTIFICATION APPROVAL REPORT

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SERVICER INFORMATION SECTION

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INSTITUTION NAME : Athens State University
OPE ID : 001008 00
INSTITUTION TYPE : Public

SERVICER INFORMATION

<u>SERVICER NAME</u>	<u>CONTACT NAME</u>	<u>SERVICES OFFERED</u>
National Student Clearinghouse 2300 Dulles Station Boulevard Herndon, VA 20171	Mr. Daniel R. Bochmer	Other

**** End of Servicer Information Section ****

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**M.S. in Global Logistics and Supply Chain Management
Financial Projections and Results**

	2015-2016 Academic Year 1		2016-2017 Academic Year 2		2017-2018 Academic Year 3		2018-2019 Academic Year 4		2019-2020* Academic Year 5		Totals	
	Projected	Actual	Projected	Actual	Projected	Actual	Projected	Actual	Projected	Actual	Projected	Actual
	Revenue	52,650.00	23,400.00	70,200.00	124,800.00	114,075.00	280,800.00	157,950.00	216,450.00	201,825.00	168,822.00	596,700.00
Expenses	125,410.00	53,369.34	125,410.00	122,890.64	125,410.00	229,458.25	174,616.00	165,189.20	237,913.00	112,670.31	788,759.00	683,577.74
	(72,760.00)	(29,969.34)	(55,210.00)	1,909.36	(11,335.00)	51,341.75	(16,666.00)	51,260.80	(36,088.00)	56,151.69	(192,059.00)	130,694.26

* Fall Term Only

**Master's of Arts in Religious Studies
Financial Projections and Results**

	2016-2017 Academic Year 1		2017-2018 Academic Year 2		2018-2019 Academic Year 3		2019-2020* Academic Year 4		Totals	
	Projected	Actual	Projected	Actual	Projected	Actual	Projected	Actual	Projected	Actual
	Revenue	87,750.00	54,600.00	140,400.00	89,700.00	157,950.00	72,150.00	166,725.00	24,375.00	552,825.00
Expenses	78,487.00	30,240.00	78,987.00	50,400.00	79,487.00	45,360.00	113,066.00	17,280.00	350,027.00	143,280.00
	9,263.00	24,360.00	61,413.00	39,300.00	78,463.00	26,790.00	53,659.00	7,095.00	202,798.00	97,545.00

* Fall Term Only

**Master's of Education in Career Technology
Financial Projections and Results**

	2017-2018 Academic Year 1		2018-2019 Academic Year 2		2019-2020* Academic Year 3		Totals	
	Projected	Actual	Projected	Actual	Projected	Actual	Projected	Actual
	Revenue	40,950.00	387,075.00	52,650.00	447,525.00	58,500.00	168,822.00	152,100.00
Expenses	29,000.00	286,768.54	35,400.00	369,657.32	36,400.00	147,092.91	100,800.00	803,518.77
	11,950.00	100,306.46	17,250.00	77,867.68	22,100.00	21,729.09	51,300.00	199,903.23

* Fall Term Only

P1 Report - GLSCM

University Name: Athens State University
Program: Global Logistics & Supply Chain Management
Degree: Master of Science
CIP: 52.0203
ACHE Approval Date: December 5, 2014
Proposed Implementation Date: August 2015
Actual Implementation Date: January 2016

The University's first graduate program, the M.S. in Global Logistics and Supply Chain Management (GLSCM) was approved by the University's Board of Trustees in April 2014. The Alabama Commission on Higher Education approved the program in December 2014. The Southern Association of Colleges and Schools Commission on Colleges awarded the university membership at Level III and authorized a Substantive Change Committee to visit the institution to review continued compliance with the Principles of Accreditation. The Substantive Change Committee visit occurred in March 2016. The report of the committee contained no recommendations and the COC's Board of Trustees confirmed membership at Level III at their June 2016 meeting.

After considering several possibilities, the University chose to pursue as its first graduate program a Master of Science in Global Logistics and Supply Chain Management. The decision was based on the strength and growth of the University's undergraduate program in Logistics and Supply Chain Management, interest in the new program as evidenced by institutional surveys, and evidence of strong job projections for professionals in logistics and supply chain field, particularly in the north Alabama region.

Table 1
Post-Implementation Data at a Glance
M.S. in Global Logistics & Supply Chain Management

	PI Condition	Actual	Met/Not Met
Average Enrollment 2016-2017 through 2020-2021 (5-Year Average)	13	28.4 (5-year average)	Met
Average Graduates 2018-2019 through 2020-2021 (4-Year Average)	5	22 (2-Year average)	Circle One: 7.5 Baccalaureate 3.75 Master's The Projected Graduation Rate was 5 students
% of Graduates Employed in Field (or Continuing Education)	75% (Information Notification Only)	100%	Met

The Post-Implementation conditions of the program are addressed below.

- ❖ **The annual average new admissions (headcount) for 2015-16 to 2019-20 years will be 13 students. This was the projection in the original proposal as approved by the Commission.**

The GLSCM program was implemented using a cohort model that allowed part-time enrollment for students. The first cohort began with the Spring 2016 semester with two graduate courses offered. The second cohort began with the Fall 2016 semester. After Fall 2016, each new cohort started

only once a year with the Fall Semester. **Table 2** provides the number of students admitted for each cohort since implementation.

**Table 2
New Admissions by Annual Cohort**

Semester	Cohort #	Admitted
Spring 2016*	1	6
Fall 2016	2	19
Fall 2017	3	40
Fall 2018	4	21
Fall 2019	5	56
5-Year Average	--	28.4 Students

**Program implemented in Spring 2016*

The Post-Implementation standard condition for this program was that the annual average new enrollment headcount for the first five years, beginning 2015-2016, be at least 13 students. Based on official data, the 5-Year annual average number of students enrolled is 28.4 (**Table 1**). The enrollment trend reflects a steady demand for this program.

- ❖ **The annual average number of graduates for the academic years 2016-17 through 2019-20 (four-year average) will be at least 5. This was the projection in the original proposal as approved by the Commission.**

The PI standard condition set by the Commission was an annual average number of graduates for the period of 2016-2017 through 2019-2020 (four-year average) of at least 5 students. The program did not have any graduates in 2016-2017 because the first cohort entered mid-year, Spring 2016. Therefore, the annual average calculation starts with 2017-2018. Since implementation, the two-year average number of graduates is 22 students (**Table 3**). The program has, so far, well exceeded the condition set by the Commission.

**Table 3
Annual Completers**

Year	Completers
2017-2018	19
2018-2019	25
2-Year Average	22

- ❖ **A follow-up survey will be conducted after the first five years that will show that at least 75% of the graduates were successful in acquiring related employment (or continuing their education). The unemployment rate will be considered as informational/ notification only, and will not be a consequential consideration in evaluating attaining/meeting post-implementation.**

**Table 4
Employment of Graduates**

Graduate Follow-Up Survey	ACHE Threshold	Program Graduates
Spring 2019 Survey	75%	57%

- ❖ **Information regarding an overall assessment of the program should be provided here, particularly as it relates to objectives, learning outcomes, and assessment measures stated in the original proposal and approved by the Commission.**

NOTE: For this condition, the report should include information on the assessment of the program and how the assessment data collected is used. Typically, the institution should elaborate in a few paragraphs the assessment design, results, and use of the assessments related to this program. Please indicate if the assessments have fulfilled that requirement (condition) as approved by the Commission.

The assessment of learning outcomes in graduate programs is governed by the Institutional Assessment and Program Review Policy and is conducted following procedures and timeframes stipulated in the University's Outcomes Assessment System. This evaluative process is systematic, integrated, and is an integral part of the ongoing institutional effectiveness model.

Like any other academic degree program at the institution, graduate program assessments focus on the formulation and measurement of student learning outcomes. However, additional outcomes associated with the overall performance of each program but not directly connected to learning, namely program-operational outcomes, were also formulated and measured.

Responsibility for the formulation and evaluation of learning outcomes falls on the program's graduate faculty, in coordination with the Graduate Faculty Council, the Executive Assessment Committee, and the Provost/Vice President for Academic Affairs. The Office of Institutional Research and Assessment is responsible for the coordination of assessment activities and data analysis.

Each graduate program must formulate and publish student learning outcomes, implement these outcomes in the faculty-developed Annual Assessment Plan at the beginning of the academic year, and report results through the Annual Assessment Report. Action Plans must be submitted as needed based on assessment findings. Annual assessment findings are shared with the program's graduate faculty and College Deans, who will be responsible for reporting to the Provost/Vice President for Academic Affairs.

Program faculty formulated student learning outcomes, appropriate to a graduate-level education, which were assessed using evidence-based and indirect methods to measure student achievement. The student learning assessment methodology relied primarily on embedded assessments of student work at the course and program level.

The program proposal for the M.S. in Global Logistics and Supply Chain Management included seven Student Learning Outcomes. These are detailed below along with assessment data. The first year of implementation involved determining some baseline data.

Graduates of the M.S. in Global Logistics and Supply Chain Management will be able to:

1. Demonstrate advanced knowledge of global logistics and supply chain concepts, techniques, practices, and processes.

Target	2016-17 (n=6)	2017-18 (n=21)
90.0%	0.0%	4.8%

Action plan (2016-17): Graduate faculty will conduct a question item analysis of the Entrance/Exit Examination and determine the reliability of the instrument in measuring the expected target outcome.

Action plan (2017-18): The results represent the first opportunity to collect the assessment data for the program and establish the validity of the exam in assessment of intended outcome results needs to continue, including: 1) Potential assessment methodology revision by mapping questions to the target outcomes to assure that target outcomes are represented by the questions and all questions relate to a target outcome, then 2) Identify questions consistently answered incorrectly and map those questions to course content to evaluate the need for course revision to enhance achievement of learning outcomes. Also, the ability to complete the program may be tied to achievement of the minimum target score on the outbound attempt at the exam, as an incentive for completing the assessment.

2. Apply quality management tools for process improvement and analyze regional and global business environments to institute logistics, supply chain and purchasing concepts to improve an entity's efficiency and effectiveness.

Target	2016-17	2017-18 (n=20)
90.0%	N/A	100.0%

3. Develop and implement logistics and supply chain strategies that are sensitive to universally accepted moral and societal standards that benefit all classes of people and the environment.

Target	2016-17	2017-18 (n=20)
90.0%	N/A	100.0%

4. Demonstrate an understanding of motivational theories and effective leadership practices across global organizations.

Target	2016-17 (n=6)	2017-18 (n=30)
90.0%	79.0%	83.7%

Action plan (2016-17): Data were only collected from one cohort. Due to the small sample size, additional data must be gathered before any meaningful conclusions can be drawn.

Action plan (2017-18): The assessment will be evaluated in the annual assessment cycle by the graduate faculty, with primary emphasis on supporting achievement of higher assessment scores through enriched course content across the graduate curriculum with a review of pedagogical methods and techniques to enhance learning. Action plans will be established, including possible course revisions, by the graduate faculty.

5. Demonstrate advanced communication skills with ability to communicate complex information to audiences of experts within the field as well as broader audiences.

Written communication (Source: Graduate Program College Level Writing Rubric)

Target	2016-17 (n=6)	2017-18 (n=20)
90.0%	100.0%	99.2%

Oral communication (Source: Graduate Program Oral Presentations Rubric)

Target	2016-17	2017-18 (n=38)
90.0%	N/A	95.8%

“N/A” denotes that no student completed the assessment during the academic year.

6. Demonstrate the ability to make ethical decisions in a global environment.

Target	2016-17	2017-18 (n=20)
90.0%	N/A	95.0%

7. Demonstrate relevant technological and information literacy skills necessary to constantly build upon gained knowledge and experience.

Target	2016-17	2017-18 (n=28)
90.0%	N/A	92.9%

- ❖ **Please note any program-specific accreditations or required licensures associated with the new program.**

The M.S. in Global Logistics and Supply Chain Management received accreditation by the Accreditation Council for Business Schools and Programs following an on-site visit in 2018. The first Quality Assurance Report is due in September 2022 and the next reaffirmation is scheduled for 2028.

Athens State University is accredited by the Southern Association of Colleges and Schools Commission on Colleges as a Level III institution with approval to award baccalaureate and master’s degrees.

Additional Post-Implementation Conditions Established by ACHE:

- ❖ **Total number of credit hours taken by semester of those enrolled in the program.**
A detailed report of enrollment and credit hour production by semester is provided in [Appendix 7](#).

- ❖ **A report detailing what steps will be taken to increase enrollments, if the enrollment benchmarks as specified in the proposal are not reached.**

While enrollment benchmarks have exceeded post-implementation standards, the University continues provide targeted marketing efforts for the M.S. in GLSCM program. Strategic social media tools account for the bulk of these efforts.

- ❖ **A list of the faculty teaching the proposed program’s courses along with the faculty member’s degree and field of specialization.**

Faculty qualifications for the M.S. in GLSCM program are provided in [Appendix 8](#).

- ❖ **A written update regarding the name and employment status of the Provost appointment. The update must include a description of any Provost major actions relative to the proposed program. The basis of the request is to provide ACHE with a fuller understanding of the academic and instructional integrity of the proposed program.**

In 2016, Athens State University hired Dr. Joe Delap as Provost/Vice President for Academic Affairs. Dr. Delap began serving in this role on July 1, 2016. In his role as Chief Academic Officer, the Provost provides leadership to graduate programs, conducting ongoing meetings with faculty

from the graduate programs as well as with the Curriculum & Faculty Development Team. Together, the Provost and this Team monitor progress toward graduate student learning outcomes, curriculum development and review, and graduate faculty workload and credentials. The Provost/Vice President for Academic Affairs serves as the Graduate Dean.

- ❖ **The results of a program candidate satisfaction survey, which includes information on candidates' employment prioritized intentions.**

Focus Group sessions were conducted with students in the first three cohorts of the M.S. in GLSCM program to gather their feedback on the success of the program's implementation. Each session was facilitated by a member of the University's staff.

- ❖ **A report regarding what specific steps are being/have been taken to facilitate graduates' employment, including a list of the Athens personnel who are facilitating these tasks and the extent of success of these efforts.**

As discussed earlier, part of the graduate program implementation process included a Graduate Student Orientation event. One of the presenters for this annual event was the Director of the University's Career Development Center (CDC), Ms. Saralyn Mitchell, who provided students information on the services available to them. Ms. Mitchell introduced students to a variety of resources through the CDC including resume reviews, a review of current job postings, registration for career fairs, networking events, resume workshops, and professional introduction workshops. Ms. Laura Allen, Coordinator for Student Employment Programs, also provides assistance to graduate students seeking employment.

In August 2018, the Career Development Center launched a new Career Services Management System called Handshake. Handshake is the fast and powerful new recruiting platform for sourcing Athens State University students and alumni. It uses cutting-edge technology to better connect employers with qualified student/alumni candidates. As of May 2019, there were forty-nine (49) graduate students registered on Handshake.

- ❖ **A report detailing any substantive programmatic changes in the process of continuous improvement.**

In early 2019, the University implemented an *Accelerated Enrollment Policy* to allow undergraduate students to apply for early admission to a specific graduate program. This allows the undergraduate student to enroll in a maximum of twelve (12) hours of graduate coursework. Enrollment in courses in a given term may be subject to space availability and/or cohort restrictions. If completed successfully, the graduate courses may be substituted for specific course requirements in the student's undergraduate degree program. The courses will also fulfill the appropriate graduate program course requirements upon admission to the graduate program. Enrollment in graduate courses does not constitute acceptance into a graduate program. Students will still be required to fulfill all admissions requirements for the specific graduate program.

To support the graduate admissions process, the University purchased additional licenses for specialized software (Extender). This provides program faculty and support staff the ability to provide timely assistance to program applicants.

M.S. in Global Logistics and Supply Chain Management Course Credit Hours by Term

Term	COURSE	TITLE	TYPE REQUIREMENT	ENR	CHP	INSTRUCTOR
Spring 2016	LSM 602	Management of Distribution & Inventory	Core	8	24	Pieplow, Thomas
Spring 2016	LSM 603	Supply Chain and Logistics Strategies	Core	8	24	Cox, Scott
			Total Spring 2016 CHP		48	
Summer 2016	LIS 600	Logistics Information Systems Management	Support - Logistics Info. Syst. Track	3	9	Cox, Scott
Summer 2016	MGT 600	Operations Planning and Control	Support - Management Track	3	9	Essary, Michael
Summer 2016	MGT 603	Financial Management	Core	6	18	Baugh, LaDoris
			Total Summer 2016 CHP		36	
Fall 2016	LSM 600	Supply Chain Governance	Core	26	78	Pieplow, Thomas
Fall 2016	LSM 601	Procurement & Materials Management	Core	26	78	Pieplow, Thomas
			Total Fall 2016 CHP		156	
Spring 2017	LIS 602	Enterprise Resource Planning	Support - Logistics Info. Syst. Track	3	9	Haghighi, Michael
Spring 2017	LSM 602	Management of Distribution & Inventory	Core	17	51	Essary, Michael
Spring 2017	LSM 603	Supply Chain and Logistics Strategies	Core	17	51	Pieplow, Thomas
Spring 2017	LSM 610	Case Studies in Logistics Capstone	Core	6	18	Pieplow, Thomas
Spring 2017	MGT 602	Strategic Management & Leadership	Support - Management Track	3	9	Essary, Michael
			Total Spring 2017 CHP		138	
Summer 2017	LIS 600	Logistics Information Systems Management	Support - Logistics Info. Syst. Track	10	30	Haghighi, Michael
Summer 2017	MGT 600	Operations Planning and Control	Support - Management Track	5	15	Essary, Michael
Summer 2017	MGT 603	Financial Management	Core	15	45	Essary, Michael
			Total Summer 2017 CHP		90	
Fall 2017	LIS 601	Logistics/Supply Chain Information Assurance	Support - Logistics Info. Syst. Track	13	39	Haghighi, Michael
Fall 2017	LSM 600	Supply Chain Governance	Core	21	63	Pieplow, Thomas
Fall 2017	LSM 600	Supply Chain Governance	Core	23	69	Pieplow, Thomas
Fall 2017	LSM 601	Procurement & Materials Management	Core	21	63	Essary, Michael
Fall 2017	LSM 601	Procurement & Materials Management	Core	21	63	Essary, Michael
Fall 2017	LSM 604	Supply Chain Simulation Modeling & Analysis	Core	20	60	Lovelace, Cynthia
Fall 2017	MGT 601	Global Economics	Support - Management Track	7	21	Pieplow, Thomas
			Total Fall 2017 CHP		378	

M.S. in Global Logistics and Supply Chain Management Course Credit Hours by Term

Term	COURSE	TITLE	TYPE REQUIREMENT	ENR	CHP	INSTRUCTOR
Spring 2018	LIS 602	Enterprise Resource Planning	Support - Logistics Info. Syst. Track	10	30	Haghighi, Michael
Spring 2018	LSM 602	Management of Distribution & Inventory	Core	19	57	Essary, Michael
Spring 2018	LSM 602	Management of Distribution & Inventory	Core	17	51	Essary, Michael
Spring 2018	LSM 603	Supply Chain and Logistics Strategies	Core	16	48	Pieplow, Thomas
Spring 2018	LSM 603	Supply Chain and Logistics Strategies	Core	19	57	Pieplow, Thomas
Spring 2018	LSM 604	Supply Chain Simulation Modeling & Analysis	Core	1	3	Lovelace, Cynthia
Spring 2018	LSM 610	Case Studies in Logistics Capstone	Core	15	45	Pieplow, Thomas
Spring 2018	MGT 602	Strategic Management & Leadership	Support - Management Track	5	15	Essary, Michael
			Total Spring 2018 CHP		306	
Summer 2018	LIS 600	Logistics Information Systems Management	Support - Logistics Info. Syst. Track	15	45	Haghighi, Michael
Summer 2018	MGT 600	Operations Planning and Control	Support - Management Track	16	48	Wright, Lionel
Summer 2018	MGT 603	Financial Management	Core	15	45	Essary, Michael
Summer 2018	MGT 603	Financial Management	Core	14	42	Essary, Michael
			Total Summer 2018 CHP		180	
Fall 2018	LIS 601	Logistics/Supply Chain Information Assurance	Support - Logistics Info. Syst. Track	17	51	Haghighi, Michael
Fall 2018	LSM 600	Supply Chain Governance	Core	22	66	Lovelace, Cynthia
Fall 2018	LSM 601	Procurement & Materials Management	Core	20	60	Wright, Lionel
Fall 2018	LSM 604	Supply Chain Simulation Modeling & Analysis	Core	17	51	Lovelace, Cynthia
Fall 2018	LSM 604	Supply Chain Simulation Modeling & Analysis	Core	17	51	Lovelace, Cynthia
Fall 2018	MGT 601	Global Economics	Support - Management Track	18	54	Pieplow, Thomas
			Total Fall 2018 CHP		333	
Spring 2019	LIS 602	Enterprise Resource Planning	Support - Logistics Info. Syst. Track	15	45	Haghighi, Michael
Spring 2019	LSM 602	Management of Distribution & Inventory	Core	17	51	Lovelace, Cynthia
Spring 2019	LSM 603	Supply Chain and Logistics Strategies	Core	16	48	Pieplow, Thomas
Spring 2019	LSM 610	Case Studies in Logistics Capstone	Core	27	81	Pieplow, Thomas
Spring 2019	MGT 602	Strategic Management & Leadership	Support - Management Track	13	39	Essary, Michael
			Total Spring 2019 CHP		264	
Summer 2019	LIS 600	Logistics Information Systems Management	Support - Logistics Info. Syst. Track	7	21	Haghighi, Michael
Summer 2019	MGT 600	Operations Planning and Control	Support - Management Track	5	15	Wright, Lionel
Summer 2019	MGT 603	Financial Management	Core	11	33	Essary, Michael
			Total Summer 2019 CHP		69	

M.S. in Global Logistics and Supply Chain Management Course Credit Hours by Term

Term	COURSE	TITLE	TYPE REQUIREMENT	ENR	CHP	INSTRUCTOR
Fall 2019	LIS 601	Logistics/Supply Chain Information Assurance	Support - Logistics Info. Syst. Track	6	18	Haghighi, Michael
Fall 2019	LSM 600	Supply Chain Governance	Core	18	54	Lovelace, Cynthia
Fall 2019	LSM 600	Supply Chain Governance	Core	16	48	Lovelace, Cynthia
Fall 2019	LSM 600	Supply Chain Governance	Core	20	60	Pieplow, Thomas
Fall 2019	LSM 601	Procurement & Materials Management	Core	18	54	Wright, Lionel
Fall 2019	LSM 601	Procurement & Materials Management	Core	20	60	Wright, Lionel
Fall 2019	LSM 601	Procurement & Materials Management	Core	19	57	Wright, Lionel
Fall 2019	LSM 602	Management of Distribution & Inventory	Core	15	45	Lovelace, Cynthia
Fall 2019	LSM 603	Supply Chain and Logistics Strategies	Core	15	45	Pieplow, Thomas
Fall 2019	LSM 604	Supply Chain Simulation Modeling & Analysis	Core	14	42	Lovelace, Cynthia
Fall 2019	MGT 601	Global Economics	Support - Management Track	5	15	Tombler, Ying
			Total Fall 2019 CHP		498	
			Total CHP Spring 2016 - Fall 2019		2,496	

Athens State University
Graduate Faculty Roster – M.S. in GLSCM Program

3. A list of faculty teaching in the program along with the faculty member's degree and field of specialization.

Faculty	Academic Qualifications	Professional Qualifications
Baugh, Dr. LaDoris (FULL-TIME) MGT 603 – Financial Management	D.B.A. w/concentration in Leadership University of Phoenix Certified in Financial Management (CFM) by the Institute of Certified Management Accountants Ph.D. Logistics/Supply Chain Management w/minor in Information Systems Georgia Southern University	9 Years -Internal Auditor for Amoco Oil Company 5 Years – Graduate teaching experience in Finance and Accounting 6 Years -Logistics Analyst -Robins Air Force Base-ALC Maintenance Depot Ad Hoc Reviewer – <i>International Journal for Logistics Management</i>
Cox, Dr. Scott (FULL-TIME) LIS 600 – Logistics Information Systems Management LSM 603 – Supply Chain & Logistics Strategies		
Essary, Dr. Michael (FULL-TIME) LSM 601 – Procurement & Materials Management LSM 602 – Management of Distribution & Inventory MGT 600 - Operations Planning & Control MGT 602 – Strategic Management & Leadership MGT 603 – Financial Management	D.B.A. w/concentration in Financial Management Northcentral University 24 Graduate hours in Logistics Florida Institute of Technology APICS Certified in Production & Inventory Management Maintenance Certified Quality Improvement Associate by American Society for Quality (ASQ) Ed.D. Higher Education Administration University of Alabama	6 Years -Graduate teaching experience in Finance and Supply Chain Management 28 Years – Industry experience in Operations Management
Haghighi, Dr. Mike (FULL-TIME) LIS 600 – Logistics Information Systems Management LIS 601 - Logistics/Supply Chain Information Assurance LIS 602 – Enterprise Resource Planning		Cisco Certified Network Associate (CCNA) Cisco Certified Networking Academy IT Essentials Trainer Cisco Networking Academy Network Security Trainer SAP University Alliance Enterprise Resource Planning SAP University Alliance Analytics & Data Warehousing Certified SAP University Alliance Instructor for SAP ERPsimLab
Lovlace, Dr. Cynthia (FULL-TIME) LSM 600 – Supply Chain Governance LSM 602 – Management of Distribution & Inventory LSM 604 – Supply Chain Simulation Modeling/Analysis	Ph.D. in Manufacturing Systems Engineering University of Alabama in Huntsville M.S.E., Industrial and Systems Engineering, University of Alabama in Huntsville	Research Scientist and Curriculum Lead for the Supply Chain Education Initiative for the Army Materiel Command (Redstone Arsenal, Alabama) and the Center for the Management of Science and Technology at UAH
Prelow, Dr. Thomas (FULL-TIME) LSM 600 – Supply Chain Governance LSM 601 - Procurement & Materials Management LSM 602 – Management of Distribution & Inventory LSM 603 – Supply Chain & Logistics Strategies	D.P.A Nova Southeastern University M.B.A. w/Logistics Management Option Florida Institute of Technology 34 Functional Specialized Courses – Army Logistics Management Center	8 Years -Director of Business Management for Army Materiel Command Center 3 Years – Associate Program Manager -Logistics, Unmanned Aerial Vehicles, Program Executive Officer, Cruise Missiles and UAVs

<p>LSM 610 – Case Studies in Logistics Capstone MGT 601 – Global Economics</p>	<p>Supply Management Intern Army Training Program Dept. of Army Materiel Development & Readiness Command (DARCOM) Level III Certified in Acquisition, Logistics, and Program Management, Army Acquisition Corps</p>	<p>Guest Lecturer – Army Logistics Management Center Invited Presentations – “Sustainment Logistics” for Army Aviation Association of America “Theatre Logistics” for National Defense Industry Association</p>
<p>Tombler, Dr. Ying Sun (Part-Time) MGT 601 – Global Economics</p>	<p>Ph.D. in Economics and Finance, University of California - Santa Barbara M.A. in Economics, University of California – Santa Barbara</p>	
<p>Wright, Dr. Lionel (FULL-TIME) LSM 601 – Procurement & Materials Management MGT 600 – Operations Planning & Control</p>	<p>D.B.A. with Specialization in Global Supply Chain Management, Walden University M.S., Logistics & Supply Chain Management, Embry-Riddle Aeronautical University</p>	<p>Certified Logistics Associate – Manufacturing Skills Standard Council (MSSC) Demonstrated Master Logistician – International Society of Logistics Life Cycle Logistics Level III – Defense Acquisition University</p>

P1 Report - Religious Studies

University Name: Athens State University
Program: Religious Studies
Degree: Master of Arts
CIP: 38.0201
ACHE Approval Date: June 12, 2015
Proposed Implementation Date: August 2016
Actual Implementation Date: August 2016

The M.A. in Religious Studies program was implemented in Fall 2016 with seven (7) students. The program was designed for any individual interested in the academic study of religion. The program is non-denominational and provides individuals an opportunity to learn about Religious Studies in a neutral setting. It is designed to promote learning, critical thinking, and research in an open and honest environment. Students in the program gain a broad perspective on the study of religion that encompasses major religious traditions across the world. There is no similar program offered completely online at a public university in Alabama.

The graduate Religious Studies program includes an advanced 30-36 semester hour program of study with two options. The thesis track is for students interested in pursuing doctoral degrees in religious studies or employment in research-related careers. A non-thesis track is available for students who are interested in developing a leadership career in faith communities and/or nonprofit organizations. Admission to the program is ongoing with no cohort restrictions. Coursework for this program is delivered through a distance learning format.

The primary target audience for the M.A. in Religious Studies program includes:

- Students from the University's undergraduate program in religion
- Students interested in pursuing doctoral degrees in religious studies (thesis track)
- Individuals seeking a career in pastoral leadership; children, youth and adult education; social work; nonprofit and community service leadership; counseling (non-thesis track)

Table 1
Post-Implementation Data at a Glance
M.A. in Religious Studies

	PI Condition	Actual	Met/Not Met
Average Enrollment 2016-2017 through 2020-2021 (5-Year Average)	18	11 (4 year average)	Not Met - YET
Average Graduates 2018-2019 through 2020-2021 (3-Year Average)	5	6* (1 year of data)	Circle One: 7.5 Baccalaureate 3.75 Master's The Projected Graduation Rate was 5 students
% of Graduates Employed in Field (or Continuing Education)	75% (Information Notification Only)	100%	Met

The Post-Implementation conditions of the program are addressed below.

- ❖ The annual average new admissions (headcount) for 2016-2017 to 2020-2021 years will be 18 students. This number is based on the institution’s projections in the original proposal as approved by the Commission.

**Table 2
New Student Admissions**

Semester	Admitted
AY 2016-2017	17
AY 2017-2018	9
AY 2018-2019	7
Fall 2019*	6
4-Year Average	11

*Fall semester data only

- ❖ The annual average number of graduates for the academic years 2018-2019 through 2020-2021(3-year average) will be at least 5 students. This number is based on projections in the proposal as approved by the Commission.

**Table 3
Annual Completers**

Year	Completers
AY 2018-2019	6

- ❖ A follow-up survey will be conducted after the first five years that will show that at least 75% of the graduates were successful in acquiring related employment (or continuing their education). The unemployment rate will be considered as informational/ notification only, and will not be a consequential consideration in evaluating attaining/meeting post-implementation.

**Table 4
Employment of Graduates**

Graduate Follow-Up Survey	ACHE Threshold	Program Graduates
Spring 2019	75%	100%

- ❖ Information regarding an overall assessment of the program should be provided here, particularly as it relates to objectives, learning outcomes, and assessment measures stated in the original proposal and approved by the Commission.
NOTE: For this condition, the report should include information on the assessment of the program and how the assessment data collected is used. Typically, the institution should elaborate in a few paragraphs the assessment design, results, and use of the assessments related to this program. Please indicate if the assessments have fulfilled that requirement (condition) as approved by the Commission.

The assessment of learning outcomes in graduate programs is governed by the Institutional Assessment and Program Review Policy and is conducted following procedures and timeframes stipulated in the University’s Outcomes Assessment System. This evaluative process is systematic, integrated, and is an integral part of the ongoing institutional effectiveness model.

Like any other academic degree program at the institution, graduate program assessments focus on the formulation and measurement of student learning outcomes. However, additional outcomes associated with the overall performance of each program but not directly connected to learning, namely program-operational outcomes, were also formulated and measured.

Responsibility for the formulation and evaluation of learning outcomes falls on the program's graduate faculty, in coordination with the Graduate Faculty Council, the Executive Assessment Committee, and the Provost/Vice President for Academic Affairs. The Office of Institutional Research and Assessment is responsible for the coordination of assessment activities and data analysis.

Each graduate program must formulate and publish student learning outcomes, implement these outcomes in the faculty-developed Annual Assessment Plan at the beginning of the academic year, and report results through the Annual Assessment Report. Action Plans must be submitted as needed based on assessment findings. Annual assessment findings are shared with the program's graduate faculty and College Deans, who will be responsible for reporting to the Provost/Vice President for Academic Affairs.

Program faculty formulated student learning outcomes, appropriate to a graduate-level education, which were assessed using evidence-based and indirect methods to measure student achievement. The student learning assessment methodology relied primarily on embedded assessments of student work at the course and program level.

The program proposal included four Student Learning Outcomes. These are detailed below. The first year of implementation involved determining some baseline data.

1. Students will obtain and demonstrate and in-depth knowledge and understanding of the subject matter. (Source: Graduate Level Conducting Research Rubric)

Target	2016-17	2017-18
90.0%	N/A	100.0%

2. Students will demonstrate the following skills:
 - a. Think critically and demonstrate a willingness to consider different views;
 - b. Communicate research and knowledge effectively both orally and in writing;
 - c. Evaluate and consider all germane information when engaging in research and formulating arguments and conclusions;
 - d. demonstrate a knowledge of the range of scholarly work when engaging in any research project. (Source: Graduate Level Writing Rubric)

Target	2016-17	2017-18
90.0%	N/A	100.0%

3. Students will gain a broad perspective on the study of religion that will encompass Eastern and Western religious traditions.

Target	2016-17	2017-18
This is a formative learning goal that has not been formally assessed.		

4. Student will demonstrate professional attitudes and ethically responsible actions in classroom or online discussions, research papers, and presentations. Students are expected to show due respect for human diversity and understand how these differences enrich our lives and our communities. (Source: Graduate Level Writing Rubric)

Target	2016-17	2017-18
90.0%	N/A	100.0%

"N/A" denotes that no student completed the assessment during the academic year.

- ❖ **Please note any program-specific accreditations or required licensures associated with the new program.**

The M.A. in Religious Studies program does require any program-specific accreditations or required licenses. Athens State University is accredited by the Southern Association of Colleges and Schools Commission on Colleges as a Level III institution with approval to award baccalaureate and master's degrees.

P1 Report - Career & Tech Ed

University Name: Athens State University
Program: Career and Technical Education
Degree: Master of Education
CIP: 13.1319
ACHE Approval Date: June 10, 2016
Proposed Implementation Date: January 2017
Actual Implementation Date: August 2017

The purpose of the University's third graduate program, a Master of Education in Career and Technical Education, was to provide a distinctive program to address the emerging need for practitioners and occupational trainers with knowledge specifically in Career and Technical Education (CTE), especially as it relates to the latest educational teaching and occupational training practices. Consistent with all states in the nation, Alabama has committed extensive resources to the improvement of CTE programs at both the secondary and postsecondary level. As part of the overall strategy for economic development, the number one priority in the state, improve workforce development, is a major goal for recruiting industry.

This program was reviewed and approved by the Alabama Commission on Higher Education in June 2016. In September 2017, the Southern Association of Colleges and Schools Commission on Colleges approved the program and included it in the scope of the institution's accreditation cycle. The program was implemented in the Fall of 2017.

The M.Ed. in CTE includes an advanced 30 semester hour program of study with three options; Curriculum and Instruction, Leadership, or Instructional Technology. The program consists of a required core of 15 semester hours, 6 semester hours of CTE electives, and 9 hours from one of the Options. Coursework for the M.Ed. in Career and Technical Education program is offered completely online.

The primary target audience for the M.Ed. in Career and Technical Education program includes:

- Students from the University's undergraduate program in Technical Education
- Professionals who want to teach their occupational area to others
- Community college faculty seeking a graduate degree
- K-12 Vocational educators seeking to teach at the community college level

Table 1
Post-Implementation Data at a Glance
Master of Education in Career and Technical Education

	PI Condition	Actual	Met/Not Met
Average Enrollment 2017-2018 through 2021-2022 (5-Year Average)	13	58* (*3-Year Average)	Met
Average Graduates 2018-2019 through 2021-2022 (4-Year Average)	5	20.5* (2-Year Average)	Circle One: 7.5 Baccalaureate 3.75 Master's The Projected Graduation Rate as 5.2 students
% of Graduates Employed in Field (or Continuing Education)	75% (Information Notification Only)	80%	Met

The Post-Implementation conditions of the program are addressed below.

- ❖ **The annual average new admissions (headcount) for 2017-2018 to 2021-2022 years will be 13 students. This number is based on the institution’s projections in the original proposal as approved by the Commission.**

**Table 2
New Student Admissions**

Term	Admitted By Semester	Total for Academic Year
Fall 2017-2018	65	91
Spring 2018	13	
Summer 2018	13	
Fall 2018-2019	25	62
Spring 2019	23	
Summer 2019	14	
Fall 2019-2020*	22	22*
3-Year Average	58	

*Fall semester only – incomplete data year

- ❖ **The annual average number of graduates for the academic years 2018-2019 through 2021-2022 (4-year average) will be at least 5 students. This number is based on projections in the original proposal as approved by the Commission.**

**Table 3
Completers by Semester**

Semester	Admitted	Total for Academic Year
Summer 2018	4	4
Fall 2018-2019	6	37
Spring 2019	25	
Summer 2019	6	

**Table 4
Annual Completers**

Year	Completers
2017-2018	4
2018-2019	37
2-Year Average	20.5

- ❖ **A follow-up survey will be conducted after the first five years that will show that at least 75% of the graduates were successful in acquiring related employment (or continuing their education). The unemployment rate will be considered as informational/ notification only, and will not be a consequential consideration in evaluating attaining/meeting post-implementation.**

**Table 5
Employment of Graduates**

Graduate Follow-Up Survey	ACHE Threshold	Program Graduates
Spring 2019	75%	80%

- ❖ **Information regarding an overall assessment of the program should be provided here, particularly as it relates to objectives, learning outcomes, and assessment measures stated in the original proposal and approved by the Commission.**
NOTE: For this condition, the report should include information on the assessment of the program and how the assessment data collected is used. Typically, the institution should elaborate in a few paragraphs the assessment design, results, and use of the assessments related to this program. Please indicate if the assessments have fulfilled that requirement (condition) as approved by the Commission.

The assessment of learning outcomes in graduate programs is governed by the Institutional Assessment and Program Review Policy and is conducted following procedures and timeframes stipulated in the University’s Outcomes Assessment System. This evaluative process is systematic, integrated, and is an integral part of the ongoing institutional effectiveness model.

Like any other academic degree program at the institution, graduate program assessments focus on the formulation and measurement of student learning outcomes. However, additional outcomes associated with the overall performance of each program but not directly connected to learning, namely program-operational outcomes, were also formulated and measured.

Responsibility for the formulation and evaluation of learning outcomes falls on the program’s graduate faculty, in coordination with the Graduate Faculty Council, the Executive Assessment Committee, and the Provost/Vice President for Academic Affairs. The Office of Institutional Research and Assessment is responsible for the coordination of assessment activities and data analysis.

Each graduate program must formulate and publish student learning outcomes, implement these outcomes in the faculty-developed Annual Assessment Plan at the beginning of the academic year, and report results through the Annual Assessment Report. Action Plans must be submitted as needed based on assessment findings. Annual assessment findings are shared with the program’s graduate faculty and College Deans, who will be responsible for reporting to the Provost/Vice President for Academic Affairs.

Program faculty formulated student learning outcomes, appropriate to a graduate-level education, which were assessed using evidence-based and indirect methods to measure student achievement. The student learning assessment methodology relied primarily on embedded assessments of student work at the course and program level.

The program proposal included nine student learning outcomes. These are detailed below. The first year of implementation involved determining some baseline data.

Graduates of the M.Ed. in Career and Technical Education will demonstrate the ability to:

- Demonstrate advanced knowledge of career and technical education philosophies, concepts, and methodologies using literature and personal experience.
- Conduct and communicate workplace research as it relates to and informs the field of career and technical education.

- Demonstrate advanced professional writing, communication and presentation skills.
- Understand local and global societal issues and responsibilities in an evolving digital culture and exhibit legal and ethical behavior in their professional practices.
- Plan, market, administer, and evaluate a wide range of training and educational programs.
- Design and implement training aids and curriculum using andragogy/pedagogy and methodology that meet the needs of diverse learners.
- Serve adult students, colleagues, industries, and communities as expert educators and trainers.
- Facilitate 21st century learning through progressive instruction, various learning designs and strategies, assessment, and the growing use of technology.
- Develop technology based assignments that ensure real-world knowledge and immediate application on the job.

Data from the Graduate Programs Exit Survey reflects a high or somewhat high rating of students' self-assessment of their knowledge, skills and abilities in their discipline.

Exiting Knowledge, Skills and Abilities	% High or Somewhat High
Advanced knowledge of disciplinary core	62.5%
Research and scholarly methodological skills	75%
Written and oral communication skills (to address expert and non-expert audiences)	87.5%
Leadership skills	87.5%
Ability to apply field-specific theoretical knowledge to explain trends and events	62.5%
Ability to create an environment that supports learning	100%
Level of confidence that your graduate education will help you meet your goals	75%

❖ **Please note any program-specific accreditations or required licensures associated with the new program.**

The M.Ed. in Career and Technical Education does not require any program-specific accreditations or required licensures. Athens State University is accredited by the Southern Association of Colleges and Schools Commission on Colleges as a Level III institution with approval to award baccalaureate and master's degrees.



ATHENS STATE UNIVERSITY BOARD OF TRUSTEES

RECOMMENDATION FOR ACTION

DATE OF BOARD MEETING: October 18, 2019

ACTION ITEM TITLE: ACHE Decision Item - COAS
Liberal Studies Program Title Change

RECOMMENDATION:

It is recommended that the Athens State University Board of Trustees approve the submission of, to the Alabama Commission on Higher Education (ACHE), the request that the B.S. in Liberal Studies be renamed to a B.S. in Individualized Degree.

FISCAL CONSIDERATION: See attached.

RATIONALE:

Renaming the Liberal Studies Program (LSP) to Individualized Degree Program (IDP) is in keeping with current modern naming conventions in degrees that are set up for students who wish to build their own degree in emerging content areas leading to new vocations, entrepreneurship, and new files of ethics.

All documentation is approved by the Athens State University Board of Trustees prior to submission to the Alabama Commission on Higher Education.

<i>N/A</i> _____ Ronnie Chronister, Chair <i>pro tempore</i>	Date 10/18/19
_____ Macke Mauldin, Vice Chair <i>pro tempore</i>	Date 10/18/19
<i>Philip K. Way</i> _____ Philip Way, President of Athens State University	Date 10/18/2019
<i>Jackie Gooch</i> _____ Jackie Gooch, Secretary to the Board of Trustees	Date

Academic Program Inventory
Form A (alteration): Alteration of CIP Code, Program Title, and Degree Nomenclature Except at the Doctoral Level

Institution: Athens State University

Using the instructions below, complete and submit the following:

1. Refer to the institution's Academic Program Inventory for the current CIP code, program title, and degree nomenclature. This information is necessary for the review and evaluation of your request. Failure to include this information will cause a delay in processing the request.

Note: To complete the form, please consult the Academic Program Inventory for the recognized program CIP code, program title, and degree nomenclature at:

<http://www.ache.alabama.gov/Acadaffr/ProglInv/Instrprg.htm> .

2. List the current identifiers for the program from the Academic Program Inventory on line 1 below.

Example:

1. Current listing	45.1101	Sociology	BS
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3. List how the program should appear in the Inventory after the requested change(s) are made on line 2 below.

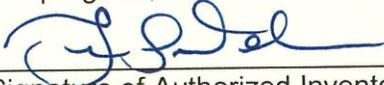
Example:

2. Proposed listing	45.1101	Sociology	BA
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Specify requested change below:

	CIP Code	Program Title	Degree Nomenclature
1. Current listing	24.0101	Liberal Studies	BS
2. Proposed listing	24.0101	Individualized Degree Program	BS

4. In an attachment, please state the rationale for the revision. For a non-substantive change, include a statement that there is no change in the requirements or the character of the program, etc.


 Signature of Authorized Inventory Official

Provost/Vice President for Academic Affairs
 Title

Athens State University
 Institution

October 10, 2019
 Date

Rationale (include documentation):

Renaming the Liberal Studies Program (LSP) to Individualized Degree Program (IDP) is in keeping with current modern naming conventions in degrees that are set up for students who wish to build their own degree in emerging content areas leading to new vocations, entrepreneurship, and new fields of ethics.

Action Required to implement change:

Change the Degree name/title to reflect the new proposed name change in the Course Catalog as necessary, and the names of the two courses required in the program. Informational change only, the course content. An introductory course is being added, which is needed to orient the students to the program, but the total number of major hours will not change.

Changes:

HU 301 Introduction to Individualized Degree Program will be added as a Professional Requirement. This course has been an elective, but it is a course in how to professionally read, listen, speak, plan for a career, and develop skills needed for employment.

Course(s) Affected:

HU 301, HU 450

The content and curriculum of the courses will not change. The only change will be the course title, the prefix and number remain the same. (Ex: HU 301 would become HU 301 Introduction to Individualized Degree Program, rather than HU 301 Introduction to Liberal Studies.)

Catalog information from 2018/2019 and for 2019/2020 in attached.



ATHENS STATE UNIVERSITY BOARD OF TRUSTEES

RECOMMENDATION FOR ACTION

DATE OF BOARD MEETING:

October 18, 2019

ACTION ITEM TITLE:

Resolution No. 1-10-18-2019

**Alabama Commission on Higher Education
Deferred Maintenance Grant Program**

RECOMMENDATION:

It is recommended that the Athens State University Board of Trustees adopt Resolution No. 1-10-18-2019 regarding anticipated expenditures for the Alabama Commission on Higher Education Deferred Maintenance Grant Program.

FISCAL CONSIDERATION:

See attached.

RATIONALE:

See attached.

N/A

Ronnie Chronister, Chair *pro tempore*

Date

10/18/19

Macke Mauldin, Vice Chair *pro tempore*

Date

Philip K. Way

Philip Way, President of Athens State University

Date

10/18/19

Jackie Gooch

Jackie Gooch, Secretary to the Board of Trustees

Date

10/18/2019

RESOLUTION No. 1-10-18-2019

Alabama Commission on Higher Education -Deferred Maintenance Grant Program

WHEREAS, the Athens State University Board of Trustees during its meeting on July 19, 2019, adopted Resolution No. 1-07-19-2019 granting authorization to the University President to solicit, negotiate, execute, and/or bind the University in transactions concerning capital improvements, alterations, remodeling and changing of capital improvements, involving the University's expenditure of no more than \$500,000.00 per project and \$1.5 million in the aggregate (not including projects individually approved by the Board) for any given fiscal year, so long as (a) sufficient budgetary resources exist, (b) the proposed expenditure is consistent with the University's best interests and strategic priorities, and (c) the President of the University will provide a facilities project status report to the Board of Trustees at regular scheduled meetings and/or as requested by the *Chair Pro Tempore*; and.

WHEREAS, the President of the University is authorized without further Board approval, to execute and direct the execution of any such documents and instruments as may be required in the furtherance, completion, and of the transactions referenced above, including obtaining any such execution required from the Board, and to approve project cumulative change order increases not to exceed ten percent of Board-approved project amount for any given project; and

WHEREAS, the President of the University has directed the Vice President for Financial Affairs to submit an application to the Alabama Commission on Higher Education for the Deferred Maintenance Grant Program to assist in funding deferred maintenance projects for the Sandridge Student Center and the Nazaretian House; and

WHEREAS, no more than \$750,000 would be allocated to any one institution and the University would be required to match any funds received which could result in exceeding the threshold of the \$1.5 million in aggregate for fiscal year 2020; and

NOW THEREFORE BE IT RESOLVED, that the Athens State University Board of Trustees approves the deferred maintenance project plans, as submitted to the Alabama Commission on Higher Education, for the Sandridge Student Center and the Nazaretian House and approves the additional expenditures for these projects in the event they exceed the \$1.5 million in aggregate for fiscal year 2020.

ADOPTED, RESOLVED AND APPROVED, this the 18th day of October, 2019.



n/a

Ronnie Chronister, Chair *Pro Tempore*, Athens State University Board of Trustees

Macke Mauldin, Vice Chair *Pro Tempore*, Athens State University Board of Trustees

Jackie Gooch

Jackie Gooch, Secretary, Athens State University Board of Trustees

DEFERRED MAINTENANCE GRANT PROGRAM

During the 2019 Regular legislative session, lawmakers passed Act 2019-403 (SB199) that included funding a four million dollar (\$4 million) Deferred Maintenance Program. The administration of these funds was placed with the Alabama Commission on Higher Education (ACHE). The description of the program included in Act 2019-403 is as follows:

The above appropriation is to be deposited into a separate fund to be allocated for a grant program for the public and state-related colleges and universities in the state. Of the above appropriation, not more than \$750,000 may be allocated to any one institution. The grants are to be allocated for deferred maintenance on existing structures and cannot be utilized for new construction. The grant program shall be administered by ACHE, and ACHE shall establish rules for the implementation of the grant program, the application process for the grants, and the awarding of the grants. The program shall require a dollar-for-dollar match to be paid by the institution receiving the grant. Grants shall be awarded based on demonstrated needs, and ACHE shall develop and implement a scoring process to evaluate each grant application and to certify compliance with grant award following project completion. ACHE shall submit an annual report to the Governor, the Chairs of the Senate Finance and Taxation-Education Committee and the House Ways and Means-Education Committee, the Director of Finance and the Director of the Legislative Services Agency within 30 days after September 30, 2020. The report shall include the recipient, amount, and approved use of each grant issued. Notwithstanding any other provision of law to the contrary, any of the above funds which remain unexpended on September 30, 2020, shall not revert, but shall be reappropriated in the fiscal year beginning October 1, 2020, to be expended for the grant program.

Definitions

Funds are for deferred maintenance projects only. Maintenance involves projects that are, or should be, preventable, not curative. These projects would be classified as repairs. The Association of Higher Education Facilities Officers/APPA uses the following definitions:

Normal/Routine/Preventive Maintenance and Minor Repairs

Cyclical, planned work activities funded through the annual budget cycle, done to continue or achieve either the originally anticipated life of a fixed asset (i.e., buildings and fixed equipment), or an established suitable level of performance. Normal/routine maintenance is performed on capital assets such as buildings and fixed equipment to help them reach their originally anticipated life. Deficiency items are low in cost to correct and are normally accomplished as part of the annual operation and maintenance (O&M) funds. Normal/routine maintenance excludes activities that expand the capacity of an asset, or otherwise upgrade the asset to serve needs greater than, or different from those originally intended.

Deferred Maintenance

Maintenance repairs and required replacements not accomplished when they should have been, not funded in the current fiscal year or otherwise delayed to the future.

Projects that may be considered as deferred maintenance include those associated with the upkeep of the facilities including, but not limited to, roof or roofing replacement short of complete replacement of membrane or structure, repainting of interior or exterior surfaces, resurfacing of floors, repair or replacement of glass and hardware, repair or replacement of electrical and plumbing systems, equipment,

and fixtures, traffic control devices, lighting, repair and replacements of gutters and downspouts, repair or resurfacing of parking lots, roads, and walkways, and central heating and cooling equipment.

Matching Funds

Institutions must submit proof in the form of the Verification of Matching Funds form stating that they have the funds available to match what is being requested from the Deferred Maintenance Grant Program prior to the distribution of funds.

Application Process

This is a competitive grant and priority for funding projects will be based upon documented need as identified in the project application form. The information included in the application and any additional documentation will be used by the evaluation committee to score projects and determine the amount of and order in which funds are distributed.

Applications for grant funds shall be made on the prescribed forms developed by ACHE and must be submitted by the respective institution's Office of the President/Chancellor to ACHE by the announced submission deadline.

If an institution submits a request for more than one project, projects must be prioritized. Institutions may consolidate multiple deferred maintenance projects into single project descriptions, if the projects involve a single building or the projects are similar in nature, i.e. painting of multiple buildings. If projects are consolidated detail must still be given on each part of the consolidated project.

The Application Package must be submitted in full by the indicated deadline.

Priority consideration may be given to projects that can be completed before the end of the FY 2019-2020 fiscal year (September 30, 2020).

ACHE staff shall review the applications for compliance with the application and eligibility requirements. ACHE staff may request additional documentation, if it believes it necessary, or if it finds the application is incomplete, or not in sufficient detail in order to provide an understanding of the proposed project.

After the review is complete, ACHE shall provide written notification to the institution indicating whether the application is in compliance.

An evaluation committee (the Committee) made up of Alabama Commission on Higher Education Commissioners and staff, and other members, if it is deemed necessary by ACHE, will be convened to review the project applications. Once the applications have been ranked by the individual committee members, and cumulatively scored, the Committee will have discussion on the proposed funding decisions.

The Committee may reject applications and not all applications may be funded.

After a decision has been made on the projects to receive funds, notification will be sent to those institutions from the Executive Director of ACHE.

Once the grant awards have been approved no modifications may be made to the project's scope, financial investment, or other pertinent details without informing ACHE.

Grant funds shall not be used for operational and administrative expenses or for services or goods not directly associated with the eligible deferred maintenance project.

Grant funds will be released to the institution in a manner prescribed by ACHE.

Should there be funds left after the initial round of applications have been processed, an announcement

will be made requesting the institutions submit additional projects for consideration.

Interim & Final Report

Each institution awarded a grant must submit quarterly progress reports that include a brief synopsis of the project and a financial overview of the project expenses to date. Upon completion of the project an institution will submit a final report showing how all of the funds were spent and evidence that the project was completed.

All grant funds remaining after the institution has reported the project to be finished shall be returned to ACHE within 45 days.

Projects should to be completed within six (6) months of distribution of funds.

Summary of Documentation and Reporting Requirements

Before funds will be distributed the following must be submitted to and accepted by the Alabama Commission on Higher Education:

- Completed Application Form
- Verification of Matching Funds Form
- Project Budget

Additional project progress and completion reports must be submitted to the Alabama Commission on Higher Education upon request.

**ALABAMA COMMISSION ON HIGHER EDUCATION
APPLICATION FORM
DEFERRED MAINTENANCE GRANT
DEADLINE FOR SUBMISSION SEPTEMBER 30, 2019**

This form must be completed in full and submitted to the Alabama Commission on Higher Education (ACHE) before an institution will be considered for Differed Maintenance Grant funds.

Name of Institution: Athens State University

Project Title: Sandridge Hall Deferred Maintenance

Contact Name: Mike McCoy

Contact Title: Vice President for Financial Affairs

Contact Address: 300 North Beaty Street, Athens, AL 35611
(Street) (City) (ZIP code)

Contact Phone Number: 256-216-3303

Email Address: mike.mccoy@athens.edu

Date of Submission: September 27, 2019

Provide a brief description of the project for which funds are being requested. Only Deferred Maintenance projects will be considered. Additional information describing the project may be attached to this form.

The exterior windows in Sandridge Hall are the original windows that were installed in 1967. The wear on the windows has created leakage in some locations as well as increased energy consumption. Additionally, the coping around the top of the building exterior is deteriorating and rotting resulting in water leakage into the building and discoloration of the building's exterior and interior. In late June, construction on the interior of Sandridge Hall was completed. The scope of the interior renovation included gutting and rebuilding the entire first floor and half the second floor. The window and coping replacement project is critical to prevent accelerated deterioration of the interior of the building and is identified in the University's Facilities Master Plan completed in 2017 completed by GMC architects.

Amount Being Requested \$ 585,000.00

Total Amount of Project \$ 1,170,000.00

Location of Project (Building Name, Campus) Sandridge Hall, Athens Main Campus

Projected Start Date of Project 11/30/2019

Projected Completion Date of Project 05/31/2020

(Projects should be completed within six (6) months of distribution of funds)

Are there known code or health and safety concerns that will be corrected by this project? If yes, please check all of the following categories that are applicable and provide an explanation? Additional sheets may be attached if needed.

- Indoor Air Quality
- Compliance with all applicable requirements of local, state, and/or federal agencies
- Mold
- Asbestos or other Hazardous Material
- Waste Management
- Lighting/Emergency Power Systems
- Fire Protection Systems
- Security
- Visibility
- Other (Provide Explanation): Increased energy efficiency

Does this project require approval of the Board of Trustees and/or Institution Administration?

Yes No

If yes, has approval been granted?

Yes No

Is the institution submitting grant applications for more than one project? Yes No

If so, projects must be prioritized, what is the Priority number of this project? First priority

Facilities Category of Project (Pick the 1 category that categorizes the main use of the facility)

- Classroom/ Instructional Related (Laboratory/Shop/Library, etc.)
- Administration
- Student Center
- Utility Plant
- Medical Center/Hospital (only include projects that are related to instructional usage)
- Residence
- Dormitory
- Vehicle Storage/Parking Deck
- Other (Provide Explanation) _____

Type of project (check no more than two)

Roof Maintenance

Exterior
Doors/Windows
painting, caulking,
etc.

Exterior Walls Painting/Brick
repair/gutters, etc.

Ease of
Accessibility

Elevators &
Conveying Systems

Interior Doors/Windows
painting, caulking, etc.

Interior Painting

Floor Coverings

HVAC
Equipment/Controls/Distribution
(ductwork, grills, etc.)

Plumbing Fixtures
(sinks, lavatories,
drinking
fountains, etc.)

Hot Water Heaters
(Boilers)

Lighting (exterior, interior,
emergency)

Fire Protection
Systems
(sprinklers, fire
alarms, etc.)

Repair of
sidewalks,
walkways, curbs,
gutters, etc.

Paving roadways and parking
lots, etc.

Central heating
and cooling plant
equipment
(boilers, chillers,
cooling towers,
etc.)

Energy Efficiency

Other (Provide Explanation) _____

Basis of Need for Project (check one)

- Hazardous safety building or site conditions that jeopardize people, programs, and/or equipment
- Required for compliance with local, state, and/or federal agencies
- Required so as to not lead to loss or suspension of facility use
- Required to prevent serious facilities deterioration
- Required to support functional activities
- Required to avoid substantial increases in cost of project
- Required to increase energy conservation
- Required or will lead to major facility damage
- Required or may hamper program activities
- Not completed because of inadequate funding or other economic reasons
- Needed for proper functioning and suitable appearance of facility
- Needed for standard preventive/routine maintenance

Was project included on Facilities Master Plan and Capital Projects Request Form A submitted October 2018? (Not to be completed by Tuskegee University) Yes No

If submitted on an earlier Facilities Master Plan and Capital Project Request Form, please state date of submission. (Not to be completed by Tuskegee University)

Yes No Submitted Different Year _____

If Yes, was project included in the Deferred Maintenance/Facilities Renewal category?

Yes No

What was the Priority Number on Facilities Master Plan? _____

If No, please explain

The interior of Sandridge Hall was under renovation in October of 2018 when the FMP and Capital Projects Request Form A was submitted. In addition, Athens State had just hired a new facilities director in August of 2018. The deferred maintenance items included in this grant request were identified during the renovation work of Sandridge Hall. These, however, were not included in the scope of work for interior renovations. The Sandridge project will be listed on Form A with our Master Plan and Capital Projects Request Form that will be submitted in October of this year. It will be listed as priority number one.

This program requires a dollar-for-dollar match be paid by the institution receiving grant funds. If a decision is made to award grant funds to this project, the President/Chancellor or Chief Financial Officer of the Institution will be required to sign a statement verifying the funds are available and the source of funds. A copy of a bank statement or other documentation showing that the funds have been set aside strictly for the use of this project will be required prior to the distribution of funds. Does the institution agree to comply with this requirement?

Yes No

ACHE is required to certify compliance with the grant award following project completion and to submit an annual report to the Governor and various members of the Legislature. The institution will be required to provide progress reports to ACHE, and to provide a final report upon completion of the project. Does the institution agree to comply with these requirements?

Yes No

Are additional attachments included to this application

Yes No

Philip K. Way
Signature

President
Title

9/26/19
Date

Mail this form and all pertinent documents to:

Standard Address:

Alabama Commission on Higher Education
Susan Cagle
P.O. Box 302000
Montgomery, AL 36130-2000

Express/Overnight Mail:

Alabama Commission on Higher Education
Susan Cagle
100 N. Union Street, Suite 782
Montgomery, Al. 36104

Electronic Transmission:

susan.cagle@ache.edu

THIS FORM IS TO BE COMPLETED ONLY AFTER NOTIFICATION THAT A GRANT HAS BEEN AWARDED

Verification of Matching Funds

Institution Name Athens State University
Project Name Sandridge Hall Deferred Maintenance
Project Award Amount \$ 1,170,000

The sources and amounts of matching share will be:

Sources of Match	Amount
University Reserves - Plant Funds	\$ 500,000.00
Current Year University operating budget	\$ 85,000.00
Total	\$ \$ 585,000.00

As the President/Chancellor or Chief Financial Officer for the above identified institution, I hereby certify that the matching resources are available for the project referenced above and will be used to fund the identified project.

Signature Philip K. Way
Printed Name PHILIP K. WAY
Title PRESIDENT
Name of Institution ATHENS STATE UNIVERSITY
Date 9/26/19

Sandridge Hall Deferred Maintenance

The exterior windows in Sandridge Hall are the original windows that were installed in 1967. The wear on the windows has created leakage in some locations as well as increased energy consumption. Additionally, the coping around the top of the building exterior is deteriorating and rotting resulting in water leakage into the building and discoloration of the building's exterior and interior. In late June, construction on the interior of Sandridge Hall was completed. The scope of the interior renovation included gutting and rebuilding the entire first floor and half the second floor. The remainder of the second floor space was renovated within the past 5-7 years. The window and coping replacement project is critical to prevent accelerated deterioration of the interior of the building and is identified in the University's Facilities Master Plan completed in 2017 by GMC architects.

Project Detailed Budget:

Window Replacement

- Curtain Wall Material	\$ 157,500
- Curtain Wall Labor	107,500
- Storefront Material	78,000
- Storefront Labor	47,000
- Demolition of Existing Windows	105,000

Elevator Controls upgrade

- Material	\$ 87,500
- Labor	12,500

Roofing – replace existing shingles

- Material	\$ 22,000
- Labor	13,000

Lighting upgrade – Ballroom

- Material	\$ 14,750
- Labor	5,250

Coping Replacement – Exterior

- Materials	\$ 128,000
- Labor	140,000
- Roofing Flashing replacement	25,000
- Lift Rental	47,000
- Stucco paneling	25,875
- EIFS	87,500
- Caulking	17,625
- Painting	14,000
- Contractor Fee	35,000

SANDRIDGE HALL COPING AND WINDOW RENOVATIONS



Typical Coping deteriorating and cracking allowing water infiltration consistent around the entire buildings.

SANDRIDGE HALL COPING AND WINDOW RENOVATIONS



Discoloration and cracking on coping.

SANDRIDGE HALL COPING AND WINDOW RENOVATIONS



SANDRIDGE HALL COPING AND WINDOW RENOVATIONS



Typical plate glass floor to ceiling windows throughout the building. Original 1967 windows are very dangerous, and minimal energy efficiency. These are located in Student activity and large meeting areas that are used as rental space also.

SANDRIDGE HALL COPING AND WINDOW RENOVATIONS



Old plate glass entrances do not meet current codes for safety.

SANDRIDGE HALL COPING AND WINDOW RENOVATIONS



SANDRIDGE HALL COPING AND WINDOW RENOVATIONS



Deteriorating caulk joints throughout exterior windows.

SANDRIDGE HALL COPING AND WINDOW RENOVATIONS



SANDRIDGE HALL COPING AND WINDOW RENOVATIONS



Shows water infiltration, cracking and old plate glass on both floors. Office areas located on the second floor area with only a wooden rail creates a hazardous condition

DEFERRED MAINTENANCE GRANT PROGRAM

During the 2019 Regular legislative session, lawmakers passed Act 2019-403 (SB199) that included funding a four million dollar (\$4 million) Deferred Maintenance Program. The administration of these funds was placed with the Alabama Commission on Higher Education (ACHE). The description of the program included in Act 2019-403 is as follows:

The above appropriation is to be deposited into a separate fund to be allocated for a grant program for the public and state-related colleges and universities in the state. Of the above appropriation, not more than \$750,000 may be allocated to any one institution. The grants are to be allocated for deferred maintenance on existing structures and cannot be utilized for new construction. The grant program shall be administered by ACHE, and ACHE shall establish rules for the implementation of the grant program, the application process for the grants, and the awarding of the grants. The program shall require a dollar-for-dollar match to be paid by the institution receiving the grant. Grants shall be awarded based on demonstrated needs, and ACHE shall develop and implement a scoring process to evaluate each grant application and to certify compliance with grant award following project completion. ACHE shall submit an annual report to the Governor, the Chairs of the Senate Finance and Taxation-Education Committee and the House Ways and Means-Education Committee, the Director of Finance and the Director of the Legislative Services Agency within 30 days after September 30, 2020. The report shall include the recipient, amount, and approved use of each grant issued. Notwithstanding any other provision of law to the contrary, any of the above funds which remain unexpended on September 30, 2020, shall not revert, but shall be reappropriated in the fiscal year beginning October 1, 2020, to be expended for the grant program.

Definitions

Funds are for deferred maintenance projects only. Maintenance involves projects that are, or should be, preventable, not curative. These projects would be classified as repairs. The Association of Higher Education Facilities Officers/APPA uses the following definitions:

Normal/Routine/Preventive Maintenance and Minor Repairs

Cyclical, planned work activities funded through the annual budget cycle, done to continue or achieve either the originally anticipated life of a fixed asset (i.e., buildings and fixed equipment), or an established suitable level of performance. Normal/routine maintenance is performed on capital assets such as buildings and fixed equipment to help them reach their originally anticipated life. Deficiency items are low in cost to correct and are normally accomplished as part of the annual operation and maintenance (O&M) funds. Normal/routine maintenance excludes activities that expand the capacity of an asset, or otherwise upgrade the asset to serve needs greater than, or different from those originally intended.

Deferred Maintenance

Maintenance repairs and required replacements not accomplished when they should have been, not funded in the current fiscal year or otherwise delayed to the future.

Projects that may be considered as deferred maintenance include those associated with the upkeep of the facilities including, but not limited to, roof or roofing replacement short of complete replacement of membrane or structure, repainting of interior or exterior surfaces, resurfacing of floors, repair or replacement of glass and hardware, repair or replacement of electrical and plumbing systems, equipment,

and fixtures, traffic control devices, lighting, repair and replacements of gutters and downspouts, repair or resurfacing of parking lots, roads, and walkways, and central heating and cooling equipment.

Matching Funds

Institutions must submit proof in the form of the Verification of Matching Funds form stating that they have the funds available to match what is being requested from the Deferred Maintenance Grant Program prior to the distribution of funds.

Application Process

This is a competitive grant and priority for funding projects will be based upon documented need as identified in the project application form. The information included in the application and any additional documentation will be used by the evaluation committee to score projects and determine the amount of and order in which funds are distributed.

Applications for grant funds shall be made on the prescribed forms developed by ACHE and must be submitted by the respective institution's Office of the President/Chancellor to ACHE by the announced submission deadline.

If an institution submits a request for more than one project, projects must be prioritized. Institutions may consolidate multiple deferred maintenance projects into single project descriptions, if the projects involve a single building or the projects are similar in nature, i.e. painting of multiple buildings. If projects are consolidated detail must still be given on each part of the consolidated project.

The Application Package must be submitted in full by the indicated deadline.

Priority consideration may be given to projects that can be completed before the end of the FY 2019-2020 fiscal year (September 30, 2020).

ACHE staff shall review the applications for compliance with the application and eligibility requirements. ACHE staff may request additional documentation, if it believes it necessary, or if it finds the application is incomplete, or not in sufficient detail in order to provide an understanding of the proposed project.

After the review is complete, ACHE shall provide written notification to the institution indicating whether the application is in compliance.

An evaluation committee (the Committee) made up of Alabama Commission on Higher Education Commissioners and staff, and other members, if it is deemed necessary by ACHE, will be convened to review the project applications. Once the applications have been ranked by the individual committee members, and cumulatively scored, the Committee will have discussion on the proposed funding decisions.

The Committee may reject applications and not all applications may be funded.

After a decision has been made on the projects to receive funds, notification will be sent to those institutions from the Executive Director of ACHE.

Once the grant awards have been approved no modifications may be made to the project's scope, financial investment, or other pertinent details without informing ACHE.

Grant funds shall not be used for operational and administrative expenses or for services or goods not directly associated with the eligible deferred maintenance project.

Grant funds will be released to the institution in a manner prescribed by ACHE.

Should there be funds left after the initial round of applications have been processed, an announcement

will be made requesting the institutions submit additional projects for consideration.

Interim & Final Report

Each institution awarded a grant must submit quarterly progress reports that include a brief synopsis of the project and a financial overview of the project expenses to date. Upon completion of the project an institution will submit a final report showing how all of the funds were spent and evidence that the project was completed.

All grant funds remaining after the institution has reported the project to be finished shall be returned to ACHE within 45 days.

Projects should to be completed within six (6) months of distribution of funds.

Summary of Documentation and Reporting Requirements

Before funds will be distributed the following must be submitted to and accepted by the Alabama Commission on Higher Education:

- Completed Application Form
- Verification of Matching Funds Form
- Project Budget

Additional project progress and completion reports must be submitted to the Alabama Commission on Higher Education upon request.

**ALABAMA COMMISSION ON HIGHER EDUCATION
APPLICATION FORM
DEFERRED MAINTENANCE GRANT
DEADLINE FOR SUBMISSION SEPTEMBER 30, 2019**

This form must be completed in full and submitted to the Alabama Commission on Higher Education (ACHE) before an institution will be considered for Differed Maintenance Grant funds.

Name of Institution: Athens State University

Project Title: Nazaretian House Deferred Maintenance

Contact Name: Mike McCoy

Contact Title: Vice President for Financial Affairs

Contact Address: 300 North Beaty Street, Athens, AL 35611
(Street) (City) (ZIP code)

Contact Phone Number: 256-216-3303

Email Address: mike.mccoy@athens.edu

Date of Submission: September 27, 2019

Provide a brief description of the project for which funds are being requested. Only Deferred Maintenance projects will be considered. Additional information describing the project may be attached to this form.

The Nazaretian House was purchased by the University in 2014 and is part of the Athens State College Historical District as recognized by the National Registry of Historic Places. To preserve this historic home, deferred maintenance is necessary and critical. The exterior siding needs lead based paint removed and siding replaced/repaired. The roof is also in need of replacement. Single pane windows need replacing and will help with better energy efficiency. Entrances need to be brought up to ADA and egress codes for the State of Alabama. The house is also in need of a new HVAC system, and plumbing and electrical systems need to be brought up to code. The house is currently unoccupied. Once deferred maintenance is completed, it will serve as our Alumni and Visitor office.

Amount Being Requested \$ 155,000.00

Total Amount of Project \$ 310,000.00

Location of Project (Building Name, Campus) Nazaretian House, Main Campus

Projected Start Date of Project 01/31/2020

Projected Completion Date of Project 07/31/2020

(Projects should be completed within six (6) months of distribution of funds)

Are there known code or health and safety concerns that will be corrected by this project? If yes, please check all of the following categories that are applicable and provide an explanation? Additional sheets may be attached if needed.

- Indoor Air Quality
- Compliance with all applicable requirements of local, state, and/or federal agencies
- Mold
- Asbestos or other Hazardous Material
- Waste Management
- Lighting/Emergency Power Systems
- Fire Protection Systems
- Security
- Visibility
- Other (Provide Explanation): Accessibility

Does this project require approval of the Board of Trustees and/or Institution Administration?

Yes No

If yes, has approval been granted?

Yes No

Is the institution submitting grant applications for more than one project? Yes No

If so, projects must be prioritized, what is the Priority number of this project? Second Priority

Facilities Category of Project (Pick the 1 category that categorizes the main use of the facility)

- Classroom/ Instructional Related (Laboratory/Shop/Library, etc.)
- Administration
- Student Center
- Utility Plant
- Medical Center/Hospital (only include projects that are related to instructional usage)
- Residence
- Dormitory
- Vehicle Storage/Parking Deck
- Other (Provide Explanation) Welcome Center and Alumni Office

Type of project (check no more than two)

Roof Maintenance

Exterior
Doors/Windows
painting, caulking,
etc.

Exterior Walls Painting/Brick
repair/gutters, etc.

Ease of
Accessibility

Elevators &
Conveying Systems

Interior Doors/Windows
painting, caulking, etc.

Interior Painting

Floor Coverings

HVAC
Equipment/Controls/Distribution
(ductwork, grills, etc.)

Plumbing Fixtures
(sinks, lavatories,
drinking
fountains, etc.)

Hot Water Heaters
(Boilers)

Lighting (exterior, interior,
emergency)

Fire Protection
Systems
(sprinklers, fire
alarms, etc.)

Repair of
sidewalks,
walkways, curbs,
gutters, etc.

Paving roadways and parking
lots, etc.

Central heating
and cooling plant
equipment
(boilers, chillers,
cooling towers,
etc.)

Energy Efficiency

Other (Provide Explanation) _____

Basis of Need for Project (check one)

- Hazardous safety building or site conditions that jeopardize people, programs, and/or equipment
- Required for compliance with local, state, and/or federal agencies
- Required so as to not lead to loss or suspension of facility use
- Required to prevent serious facilities deterioration
- Required to support functional activities
- Required to avoid substantial increases in cost of project
- Required to increase energy conservation
- Required or will lead to major facility damage
- Required or may hamper program activities
- Not completed because of inadequate funding or other economic reasons
- Needed for proper functioning and suitable appearance of facility
- Needed for standard preventive/routine maintenance

Was project included on Facilities Master Plan and Capital Projects Request Form A submitted October 2018? (Not to be completed by Tuskegee University) Yes No

If submitted on an earlier Facilities Master Plan and Capital Project Request Form, please state date of submission. (Not to be completed by Tuskegee University)

Yes No Submitted Different Year _____

If Yes, was project included in the Deferred Maintenance/Facilities Renewal category?

Yes No

What was the Priority Number on Facilities Master Plan? #4

If No, please explain

On the Facilities Master Plan submitted in October of 2018, the Nazaretian House was listed under Section 2, renovation/remodeling projects and was identified as priority number 4. The reason that it was listed in this category was based on the plans at the time. The University's intentions were to demolish much of the structure and rebuild. Due to the historical designation and input from the community, the University's plans now are to be complete deferred maintenance that brings the house up to code, helps to preserve the historical significance and prevents further deterioration.

Please attach a detailed projected budget for this project and provide a summary of costs here. Break out costs for materials, labor, equipment, etc. Include information on all of the funding sources for the total cost of the project.

Project Name Nazaretian House Deferred Maintenance	Start Date 01/31/2020	Completion Date 07/31/2020
Description of Cost (Labor, Material, Equipment, etc.)	Cost	
Nazaretian deferred maintenance labor, materials and equipment rental <input checked="" type="checkbox"/>	310,000.00	
(see attached)		
Total Cost of Project	310,000.00	

This program requires a dollar-for-dollar match be paid by the institution receiving grant funds. If a decision is made to award grant funds to this project, the President/Chancellor or Chief Financial Officer of the Institution will be required to sign a statement verifying the funds are available and the source of funds. A copy of a bank statement or other documentation showing that the funds have been set aside strictly for the use of this project will be required prior to the distribution of funds. Does the institution agree to comply with this requirement?

Yes No

ACHE is required to certify compliance with the grant award following project completion and to submit an annual report to the Governor and various members of the Legislature. The institution will be required to provide progress reports to ACHE, and to provide a final report upon completion of the project. Does the institution agree to comply with these requirements?

Yes No

Are additional attachments included to this application

Yes No

Philip K. Way

Signature

President

Title

9/26/19

Date

Mail this form and all pertinent documents to:

Standard Address:

Alabama Commission on Higher Education
Susan Cagle
P.O. Box 302000
Montgomery, AL 36130-2000

Express/Overnight Mail:

Alabama Commission on Higher Education
Susan Cagle
100 N. Union Street, Suite 782
Montgomery, Al. 36104

Electronic Transmission:

susan.cagle@ache.edu

Verification of Matching Funds

Institution Name Athens State University

Project Name Nazaretian House Deferred Maintenance

Project Award Amount \$310,000

The sources and amounts of matching share will be:

Sources of Match	Amount
University Reserve, Plant Funds	\$ 55,000.00
ASU Alumni Association Funds	\$ 100,000.00
Total	\$ \$ 155,000.00

As the President/Chancellor or Chief Financial Officer for the above identified institution, I hereby certify that the matching resources are available for the project referenced above and will be used to fund the identified project.

Signature *Philip K. Way*

Printed Name PHILIP K. WAY

Title PRESIDENT

Name of Institution ATHENS STATE UNIVERSITY

Date 9/26/19

Nazaretian House Deferred Maintenance Project

The Nazaretian House was purchased by the University in 2014 and is part of the Athens State College Historical District as recognized by the National Registry of Historic Places. To preserve this historic home, deferred maintenance is necessary and critical. The exterior siding needs lead based paint removed and siding replaced/repaired. The roof is also in need of replacement. Single pane windows need replacing and will help with better energy efficiency. Entrances need to be brought up to ADA and egress codes for the State of Alabama. The house is also in need of a new HVAC system, and plumbing and electrical systems need to be brought up to code. The house is currently unoccupied. Once deferred maintenance is completed, it will serve as our Alumni and Visitor office.

Project Detailed Budget:

Doors and Window Replacement

- Labor	\$ 12,600
- Materials	16,400
- Equipment Rental	7,000

Roofing

- Material	\$ 28,200
- Labor	26,800
- Equipment Rental	8,000

Plumbing and Electrical

- Material	\$ 46,400
- Labor	48,100
- Equipment Rental	4,000

HVAC System

- Material	\$ 50,000
- Labor	35,500

Site Improvements

- Material	\$ 10,400
- Labor	16,600

NARARETIAN HOUSE



Typical non code compliant entrances and rails.

NARARETIAN HOUSE



Gutters in need of replacement.

NARARETIAN HOUSE



Typical condition of lead base paint exterior wood siding.

NARARETIAN HOUSE



Shows rotted soffit and deteriorating porch ceiling due to roof leaks.

NARARETIAN HOUSE

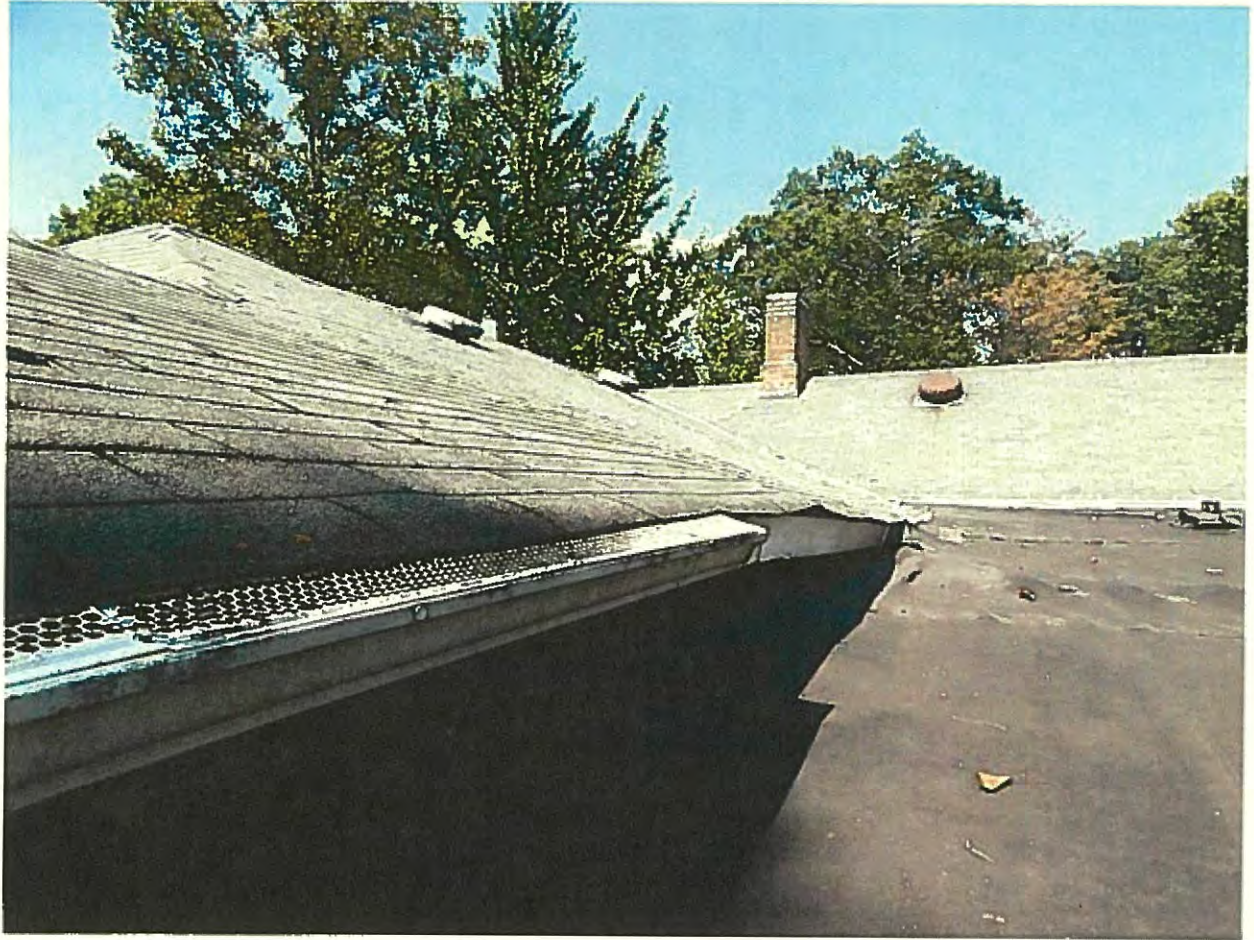


NARARETIAN HOUSE



Both high and low slope roofs are in need of replacement.

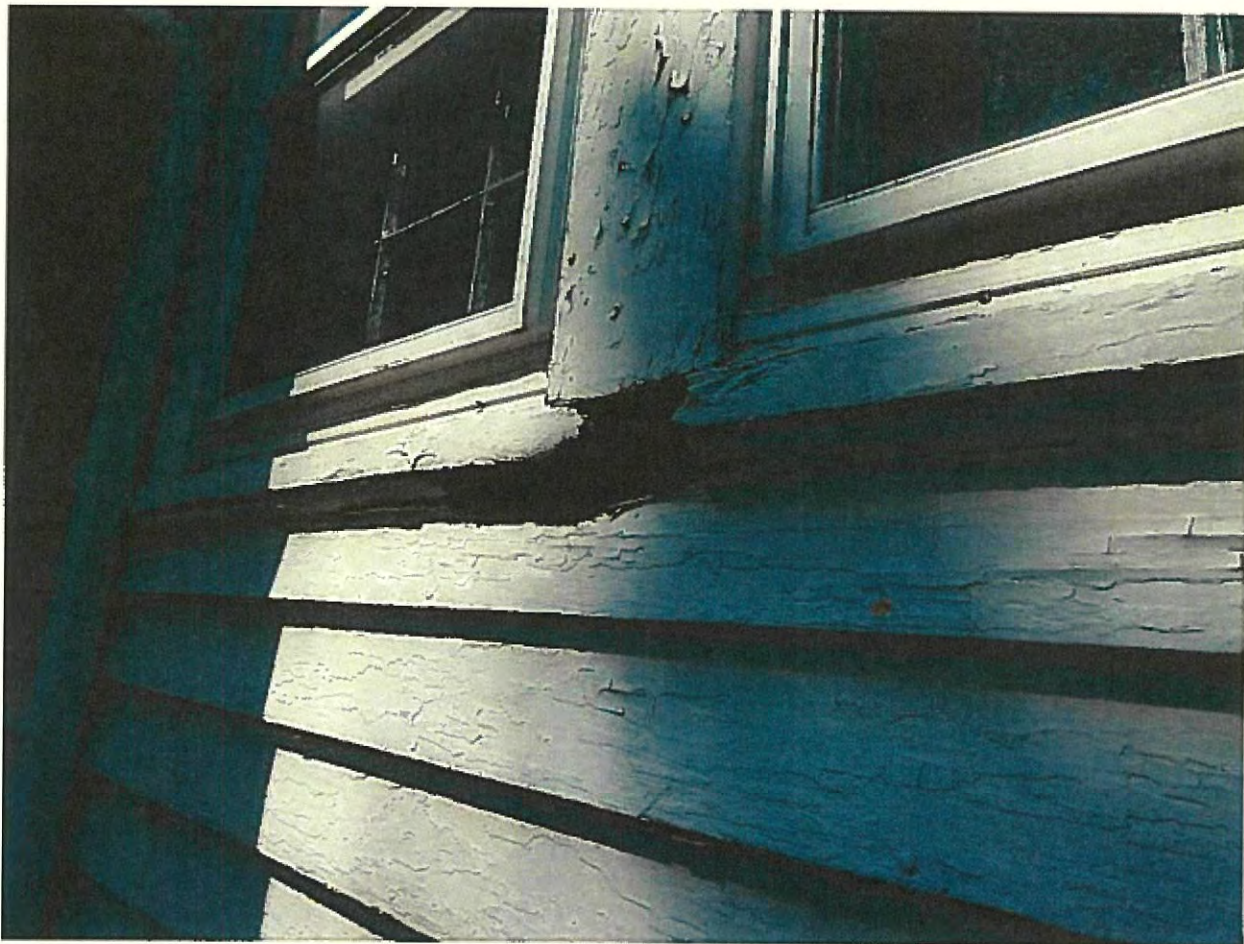
NARARETIAN HOUSE



NARARETIAN HOUSE



NARARETIAN HOUSE



Windows need to be replaced with energy efficient models and rotted seals and siding replaced.

NARARETIAN HOUSE



Possible mold starting due to moisture issues.

NARARETIAN HOUSE



Wall unit that provides heating and cooling to one section of home. Needs to be upgraded to heat pump. The other areas need heat pump replaced.



**ATHENS STATE UNIVERSITY
FAMILY RELATIONSHIP DISCLOSURE FORM**

This form must be completed and returned to the Human Resources Office.

Employee's Name: Savannah Pearson
Job Title/Position: Testing Center Assistant
Employment Date: 8-19-2019

For the purposes of this disclosure, relative includes the following: spouse, child, parent, sibling, grandparent, grandchild, aunt, uncle, first cousin, corresponding in-laws, step-relations, foster-relations or any member of the employee's household.

Are you a relative of any employee of Athens State University or any member of the Athens State University Board of Trustees?

Yes No

If yes, list the name(s), relationship, and employer/position of relative(s).

Sheila Davis - Aunt - Transcript Evaluator
Kayla Kohaneck-Tankersley - Sister in-law - ADP Advisor

I affirm that all information contained herein is correct to the best of my knowledge.

Signed: Savannah J. Pearson 8-13-2019
Employee Date

QEP Status – October 2019

August 2019

Fall Convocation – QEP Topic Identification Team made brief presentation to University community regarding the survey results.

- 495 Distinct Respondents (students, faculty, staff, employers, board members, alumni)
- 1,179 separate responses

September 2019

QEP Survey responses were presented to Vice Presidents at their regular meeting. Discussion of feedback as it relates to institutional data and strategic planning.

President Way met with QEP Topic Identification Team to discuss survey responses and announce the focus of the next QEP. Based on a variety of variables including survey responses and institutional research, Dr. Way reported that the next QEP topic would feature ***EXPERIENTIAL LEARNING***.

October 2019

QEP Leadership Team expanded and appointed by President Way. First full meeting includes a Charge and an explanation of the timeline. President Way encouraged the Team to develop a project that involves significant faculty/student interactions, powerful pedagogies inside and outside of the classroom, and career-driven competencies.

Dr. Diann Hammon appointed as QEP Director. Dr. Hammon serves as Assistant Professor of Accounting in the College of Business. She will convene the QEP Leadership Team and guide the Team and the institution through the next phase of the project, Focus Group and Literature Review activities.