

Alabama A&M University



Research Program and Experiment Station

Civil Rights Reference Manual

Normal, Alabama 34762

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Introduction

The College of Agricultural, Life, and Natural Sciences (CALNS) serves to meet the land-grant mission at AAMU. Each land-grant university receiving USDA funding is responsible for establishing internal policies and guidelines to ensure that all programs, research, and operations are done without regard to race, color, national origin, sex, age, or disability.

Further, as a recipient of federal funds through the United States Department of Agriculture, National Institute of Food and Agriculture (USDA- NIFA), CALNS is required to act in compliance with the following major statutes and Departmental Regulations:

- Title VI of the Civil Rights Act of 1964, as amended, 42 USC2000d.
- Title VII of the Civil Rights Act of 1964.
- The Equal Pay Act of 1963, as amended.
- Section 504 of the Rehabilitation Act of 1973, as amended, 19 USC 794.
- Americans with Disabilities Act of 1990, 42 USC 12101 et. seq.
- Age Discrimination Act of 1975, 42 USC 601 et. seq.
- Title IX of the Education Amendments of 1972, et seq.
- Civil Rights Restoration Act of 1987, P.L. 100-259, as amended by the Civil Rights Restoration Act of 1991, P.L. 102-166.
- USDA DR 4330-2, Nondiscrimination in Programs and Activities Receiving Federal Financial Assistance from USDA, dated March 3, 1999.
- Other relevant Federal laws and regulations.

Purpose of Civil Rights Reference Manual

The Civil Rights reference manual is designed to be a reference source for Department Chair/Project Coordinators (PCs), Principal Investigators (PIs), supervisors, research associates, research assistants, technicians, and other personnel involved in conducting research supported by USDA- NIFA non-formula and formula funds such as Evans-Allen and McIntires-Stennis.

The objectives of this civil rights reference manual are to:

1. Outline the five-year civil rights performance plan, which serves as CALNS' commitment to ensure that internal and external stakeholders are treated fairly, with dignity, and respect.
2. Increase understanding of the policies and procedures of the CALNS' Research Program.
3. Assist the Department Chair/project coordinators and principal investigators with applying the program guidelines as they relate to the administration of their research projects and related activities.
4. Promote uniformity in applying policies and practices by faculty and staff of the CALNS' Research Program.

FIVE-YEAR CIVIL RIGHTS PERFORMANCE PLAN: 2024-2029

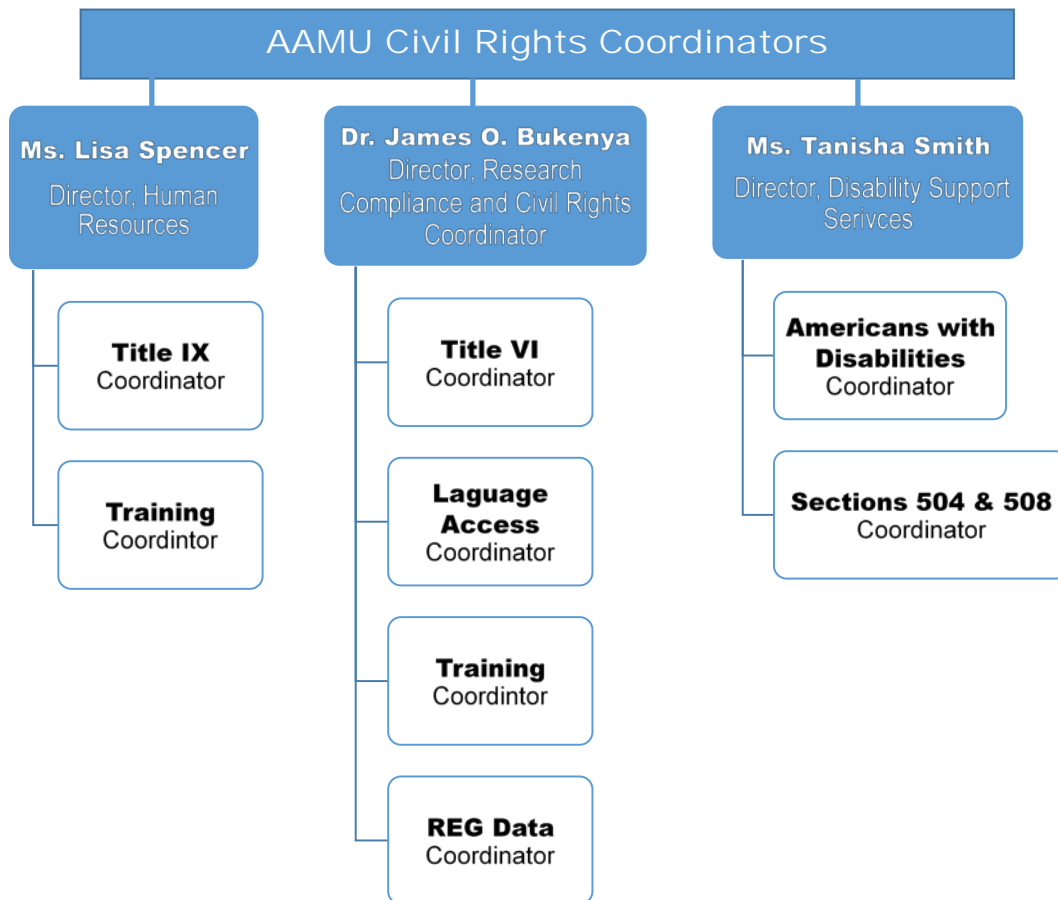
This five-year performance plan is intended to be a commitment to CALNS' internal and external stakeholders. This plan ensures that our programming and research activities are extended to under-represented groups, delivered, and conducted without discrimination and value differences.

Section I - Administrative Oversight

Objective 1 – Civil Rights Staffing

Identify persons responsible for leading the civil rights program, indicating the area(s) they represent and the breadth of their responsibility; administrative sign-off authority for civil rights; and data preparation responsibility.

As shown in the chart below, CALNS's Civil Rights Program is administered by three different AAMU units: the Human Resources Office, the Office of Disability Support Services, and the Office of Research Compliance. The Directors of these Offices serve as coordinators for the different aspects of the Civil Rights Compliance Program.



Section II - Program Planning and Participation

Increase participation of people from underrepresented groups on research advisory boards and expand participation in programs by those who have been traditionally underserved, including minorities and persons with limited English proficiency.

Objective 1 - Formalize advisory boards and ensure diversity in membership

The importance of stakeholder input and citizen participation in our programs and research are noted in Alabama A&M University's six core values, which serve as the Institution's philosophical underpinnings. These core values include leadership, engagement, access, diversity scholarship and integrity, which provide the foundation for excellence in education, creation of a scholarly environment, search for new knowledge, outreach programs to meet the needs of society, and addressing the needs of capable students with limited access to education.

With these core values as our foundation, we can establish a system of diverse, stakeholder-focused advisory councils over the next 18 months. In our constituent communities, there are committees that are related to and can give worthwhile input on our activities, but these committees are not to be used in place of AAMU-established and focused committees. From their ranks, we can gather the geographic and cultural perspectives of people willing to serve in an advisory role in the CALNS' activities, programming, and direction.

In addition, we will seek program area advisors who understand the expectation of representing those who have not traditionally been a part of land grant programming. Our selection, appointment, and review process will ensure diverse nominations and participation by underrepresented groups. Annual reviews of the composition of advisory boards will be conducted to ensure reflection of the State by ethnicity, gender, culture, geography, and expertise in programming.

Recruitment: From a starting point of selecting five founding board members, who understand the intent of the process, we will survey statewide/community needs and establish a criteria. The ratio of minority to non-minority members serving on an advisory board or committee should be comparable to the percentage of minorities in the area the group is meant to represent. Committee chairs are expected to compare local demographics to the slate of representatives to assess equitable representation of gender and various ethnic and racial groups.

An annual review of the composition of boards and program development committees will be conducted by each Department. Benchmarks will be established and annually reviewed to determine changes in participation by underrepresented populations on such boards and committees. Chairs will certify that they have reviewed the demographic composition of their program advisory committees in the annual Civil Rights Internal Review. Advisory committee members are expected to comply with the required annual civil rights training, which will include information on our written recruitment procedures outlined in our policy and procedures on board and committee structures.

Rotation: To ensure opportunities for continued diversity, membership on advisory councils and committees will rotate on a routine basis, with terms of service lasting up to three cumulative years.

Bylaws: To ensure fair treatment of all members, a CALNS-controlled advisory council will have a published set of bylaws that guide membership, voting, scope of work, and other issues that affect participation. The bylaws should indicate how members could suggest and effect changes to said by-laws. The bylaws should also make explicit reference to CALNS's nondiscrimination stance.

Objective 2 - Partnerships & collaborations with other organizations and agencies

CALNS can only succeed in delivering on its mission by growing and maintaining Partnerships. NIFA requires that our partners also "meet the specific obligations of nondiscrimination and equal opportunity associated with the USDA civil rights rules and regulations." The first step to a successful partnership is clearly articulating the agreement between the two entities. This should be done through a memorandum of agreement or understanding.

AAMU has a policy that outlines the requirements for MOAs and MOUs and the process for obtaining final approval and signatures. If there is an official MOA/MOU with the community partner, notification of AAMU's nondiscrimination stance should already be included in the contract language, and the partner does not need to sign an annual assurance statement as long as the MOA/MOU remains in place.

A Partnership Assurance form must be signed upon commencement by a representative of any organization fitting the definition of a "partnership" with CALNS program that is not currently engaged in an official MOA/MOU and every three years after that.

A copy of an MOA/MOU or the Partner Assurance statement must be documented for each community partner in the relevant department's civil rights files within the folder labeled "Partners."

Objective 3 – Serving Limited English Proficiency (LEP) populations

The increasing diversity in Alabama's population brings a clientele with limited ability in speaking and reading English. CALNS commits to our clients who have limited English proficiency. We will periodically conduct needs assessments so that faculty and staff can better understand the needs in our communities. The required civil rights training includes informing faculty, staff, and volunteers of laws prohibiting discrimination based on national origin. The training will also include information on the associated CALNS policies and required documentation. The following laws, codes, and executive orders guide our actions:

National Origin Discrimination: It is unlawful to discriminate against any employee or applicant because of the individual's national origin. No one can be excluded from participation in programs or denied equal employment opportunities because of the birthplace, ancestry, culture, or linguistic characteristics common to a specific ethnic group.

- 7 CFR, Part 15 is the Code of Federal Regulation that effectuates program accessibility and all other aspects of the civil rights laws for USDA.

Executive Order 13166 specifies the provision of language assistance to limited English proficient (LEP) individuals.

Title VI of the Civil Rights Act of 1964 prohibits exclusion from participation in, denial of benefits of, and discrimination under federally assisted programs based on race, color, or national origin.

Four LEP factors to consider:

Four factors determine whether or not Limited English Proficiency [LEP] services should be provided:

1. The number or proportion of LEP persons in the community;
2. The frequency of contact Extension has or should have with LEP persons;
3. The nature and importance of the benefit, service, communication, or information to the LEP person; and
4. The resources available to Extension, along with the costs of providing language assistance.

Those producing instructional materials and programs for LEP persons should ensure that instructional content has been culturally adapted to be consistent with the target clientele's values and beliefs and convey information that will increase the group's understanding of the surrounding majority culture.

Each office will maintain an LEP Requests and Actions Log that will be required documentation for Informal and Formal Internal Compliance Reviews and the NIFA Civil Rights Compliance Review.

Objective 4 - Offer and track ADA accommodations

Develop or adjust research and educational programs to accommodate and meet the needs and interests of clients with disabilities.

In addition to regular training on Americans with Disabilities Act (ADA) requirements, a review shall be conducted with all departments. Physical facilities utilized will be reviewed for ADA compliance, and publication statements announcing programs will carry an AAMU-approved accommodations statement: ***“Accommodation requests related to a disability should be made by [specific date] to [contact person, phone number, and email].”***

All faculty and staff have also been instructed to keep an Accommodation Request and Actions Log in their department's civil rights files so that the departments can look at patterns and potential barriers. This log will be required documentation for Informal and Formal Internal Compliance Reviews and the NIFA Civil Rights Compliance Review.

Objective 5 – Parity Standard and Potential Participant Pool

Annually, each department will determine the population eligible for its research programs. They shall use the most current U.S. Census demographic information or projected demographics available.

Objective 6 – Parity Standard and Face-to-Face Contacts

Through the annual face-to-face contact reports, each department will identify the number of clientele directly contacted, comparing the demographics against the population of the service area(s) to establish parity goals.

The parity goal in any given year is to serve the same percentage of each minority population as the total face-to-face contacts with a given group divided by that group's total known state population. [*use most recent Census data*].

Formula to Calculate Parity:

$$\frac{\% \text{ minority group in your program}}{\% \text{ minority group in the population}} \times 100$$

Objective 7 – Contact Lists (Electronic and Non-Electronic)

CALNS will develop an operating policy outlining the requirements for managing all contact lists for clients and stakeholders. Following this policy, faculty and staff will receive training on maintaining, protecting, and using contact lists. Each list manager will conduct annual surveys of their mailing list(s) to collect race, ethnicity, and gender data to determine if the list is representative of the population in the area being served. Should a disparity exist, the list manager and/or office responsible will work with the Dean's Office to grow awareness of CALNS programs in under-represented audiences. Departments will document all reasonable efforts to diversify non-representative mailing lists in office folders.

Section III - Research**Objective 1 – Resource Allocation**

Research resources will be assigned non-discriminately, including project funding, lab, and office space. Resource allocation processes will be available in writing to all interested parties.

Objective 2 – Graduate Students

Graduate students will be recruited from a wide variety of student pools. CALNS will work with AAMU Office of Graduate Studies to determine underrepresented groups in graduate student cohorts. When advertising open research assistantships, all reasonable

efforts will be made to reach a diverse graduate student audience. Project opportunities and lab and office space will be allocated to students in a non-discriminatory manner.

Section IV - Public Notification

Public notification is the process by which the public is advised of CALNS programs, the requirements for nondiscrimination, and the availability of reasonable accommodations for those needing them.

CALNS is committed to non-discriminatory notification of all stakeholders regardless of race, religion, color, national origin, citizenship, age, sex, physical or mental disability, status as a protected veteran, marital status, changes in marital status, pregnancy, childbirth or related medical conditions, parenthood, sexual orientation, gender identity, political affiliation or belief, genetic information, or other legally protected status.

Objective 1 - Nondiscrimination advisement

Advise potential program recipients of program availability and requirements of nondiscrimination.

- a) All reasonable efforts will be undertaken to inform potential program participants of research activities and programs. “All reasonable efforts” shall be defined as the minimum effort needed by research personnel when conducting programs in ethnically diverse communities to achieve program participation reflective of racial and ethnic parity. All reasonable efforts shall be documented, including the use of mass media, personal letters, newsletters, and personal visits to encourage attendance of underrepresented groups and research action plans for the inclusion of underrepresented groups in program efforts.
- b) All reasonable efforts will be made to develop, modify, and provide program materials for underrepresented groups, including materials designed to accommodate language barriers, low literacy levels, and accommodation of those with disabilities.
- c) Advise organizations and groups with which CLANS cooperates of our nondiscrimination provisions.

Objective 2 – “And Justice for All” posters

Displaying the most current version of the “And Justice for All” poster – procedures for filing a complaint openly and communicated to the public.

- a) The “And Justice for All” poster will be prominently displayed in each department and Experiment Station office and in public places regularly used and physically controlled by AAMU at public meeting sites. Civil rights files include a verification log indicating office posters' location. This must be updated annually.

Objective 3 - Affirmative action/nondiscrimination statements

All publications printed will use the appropriate affirmative action and nondiscrimination statement. When justified, these publications should also be made available to accommodate those with limited English proficiency.

The short statement will be used on letterhead, newsletters, job announcements, flyers, and most brochures:

AAMU is an affirmative action/equal opportunity employer and educational institution that prohibits illegal discrimination against individuals.

The longer statement shall be used with fact sheets and other numbered publications:

Published by AAMU in cooperation with the United States Department of Agriculture. AAMU is an affirmative action/equal opportunity employer and educational institution that prohibits illegal discrimination against individuals.

Objective 4 - Non-discriminatory statements, photos, and graphics

Use non-discriminatory statements, photos, and graphics to convey the message of equal opportunity in informational releases to the public. CALNS will make all reasonable efforts to ensure that press releases, announcements, photographs, audiovisuals, and other communication media convey equal opportunity regardless of race, color, sex, national origin, age, or disability.

Objective 5 – Gender-neutral language

Use gender-neutral language in publications, communications, and programs. All educational materials shall be written and presented in such a manner as to eliminate the perception of gender bias. Developers of publications will be encouraged to check all publications to ensure gender-neutral language and that appropriate civil rights statements are included.

Section V - Civil Rights Training**Objective 1 – Staff training**

The following specific plans and procedures for providing all staff training on civil rights and affirmative action are in accordance with regulations, which include training on addressing complaints.

Continued diversity/cultural training will be offered to provide a better understanding of other cultures and strengthen programming from various sources. The venue for the presentation shall include the annual professional development meetings and the orientation of the new staff.

Conduct civil rights training at all levels (orientation and in-service). AAMU Research programs and the AAMU Compliance Office will provide regular professional development training for employees at all levels to enhance awareness and understanding of diversity issues and to increase their ability to reach out to the underserved and underrepresented in Alabama. Training will assist faculty and staff with understanding the needs of the growing diversity in communities among actual and potential clientele.

Employees will be reminded annually of their civil rights obligations, and the expectation of nondiscrimination shall be included in job solicitations of new faculty and staff. During annual personnel reviews, supervisors are encouraged to discuss progress on all reasonable efforts.

Section VI - Civil Rights Compliance Reviews

Regularly scheduled internal reviews will be conducted in all departments to ensure compliance with federal statutes, NIFA's departmental regulations, and CALNS's Civil Rights Performance Plan. Written policies will outline the review process and the documentation required of each department. Electronic files for each department should be in place for easy access and updating by the compliance coordinator and office staff.

Objective 1 – Internal Compliance Reviews

Internal reviews will be conducted regularly to ensure compliance with CALNS's Civil Rights Performance Plan. Both formal and informal reviews and follow-up will be accomplished through the efforts of the civil rights compliance coordinator.

Informal Compliance Reviews (ICR) will be conducted annually and include, at a minimum, civil rights desk reviews, including confirming the creation of annual parity reports, collection of face-to-face contact data with comparison to U.S. Census data, and completion of the review questionnaire used to spot-check the electronic files.

Formal Internal Office Compliance Reviews (FIOCR) will be conducted once every three years. These reviews will include reviewing department civil rights records and evaluating the physical office and classroom spaces.

Within 30 days of completion of both ICR or FIOCRs, the department will receive written feedback outlining any issues or deficiencies, guidelines for coming into compliance, and the date for a follow-up interview. Documentation of each review shall be maintained in the department's civil rights files in the folder labeled "Internal Reviews."

Department reviews will include a review of the unit's civil rights records using the Checklist and a questionnaire that consists of the following:

- Does the department have program client data by race, ethnicity, and gender?
- Does the department have lists of scholarships by recipients' race, ethnicity, and gender?
- Advisory Councils/Boards and program Committees lists that summarize the number of members by race, ethnicity, and gender.

- All program mailing lists by race, ethnicity, and gender
- The compliance coordinator will advise departments of any record of complaints.
- Does the department use the appropriate affirmative action statements in its printed materials?
- Has the department offered ADA accommodations?
- Does the department display the “And Justice For All” poster in a visible location?

Objective 2 – Prepare for USDA NIFA Compliance Reviews

In accordance with United States Department of Agriculture civil rights regulations and Under Federal Regulation 7 CFR 15, any recipient of federal financial assistance, regardless of the amount, is subject to civil rights reviews. Further, the primary recipient of federal financial assistance is responsible for civil rights administration, where the primary recipient extends the financial assistance to another recipient.

USDA NIFA Compliance Reviews are regular, systematic inspections conducted onsite every seven years. Additional information regarding the inspection can be found in the USDA Civil Rights Compliance Review Guides listed on the CALNS Civil Rights Compliance website.



2024-2027 CIVIL RIGHTS REVIEW SCHEDULE

Code	Review Area	Notification of Review Date	Review Start Date	Review Completion Date *	Unit/Responsible Staff
SA24.1	Reasonable Accommodation	February 2024	April 2024	March 2027	Office of Disability Support Services/Ms. Tanisha Smith
SA24.2	Public Notification	January 2024	February 2024	January 2027	1890 Research Director's Office/Ms. Karen Johnson
SA24.3	Resource Allocation	May 2024	October 2024	September 2027	1890 Research Director's Office/Dr. Walker
SA24.4	Civil Rights and Diversity Training	January 2024	February 2024	January 2027	Office of Research Compliance and Civil Rights/Dr. Bukenya
SA24.5	Title IX (Sex Harassment) Compliance	February 2024	April 2024	March 2027	Human Resources Office/Ms. Lisa Spencer
SA24.6	Limited English Proficiency (LEP)	February 2024	March 2024	February 2027	Office of Research Compliance and Civil Rights/Dr. Bukenya
SA24.7	Collection & use of REG data	February 2024	April 2024	March 2027	Office of Research Compliance and Civil Rights/Dr. Bukenya
SA24.8	Customer Services and Conflict Resolution	May 2024	October 2024	September 2027	1890 Research Director's Office/Dr. Walker
SA24.9	Compliant procedures	March 2024	May 2024	April 2027	Office of Research Compliance and Civil Rights/Dr. Bukenya

*Given that our program is small, the reviews are scheduled every three years to allow the collection of a sizeable dataset to guide the necessary improvements.



AAMU CIVIL RIGHTS COMPLIANCE TRAINING SCHEDULE

COVERED PERIOD: _____

Purpose: To ensure that all individuals involved in all levels of administration of programs that receive federal financial assistance understand federal laws, regulations, instructions, policies, and other federal guidance related to Civil Rights.

Objectives: (1) To give employees and advisory board members a general overview of civil rights, (2) To educate faculty/staff on their rights and responsibilities as overseers of federal and state funded programs, (3) To provide informational resources to employees and advisory board members, and (4) To increase the understanding of the several civil rights topics and to eliminate the instances of civil rights violations.

TARGET AUDIENCE	TOPICS	FORMAT	REQUIREMENT/FREQUENCY	TIMELINE	MONITORING/VERIFICATION	STATUS
All Employees and Graduate Students	<ul style="list-style-type: none"> * Civil rights definition, key terms & related laws and regulations (Title VI) * Collection & use of REG data * Public notification * Reasonable accommodation * Limited English Proficiency * Title IX (Sex Harassment) * Plan for equal access to programs * Customer services & conflict resolution * Complaint procedure. 	<ul style="list-style-type: none"> • Online self-paced training with quiz (requires 70% score to get a certificate of completion). 	<ul style="list-style-type: none"> • Mandatory/Annually. 	<ul style="list-style-type: none"> • Beginning of the year or at expiration of current certificate. 	<ul style="list-style-type: none"> • Certificate • Logs. 	<ul style="list-style-type: none"> <input type="checkbox"/> Fully Implemented <input type="checkbox"/> Partially Implemented <input type="checkbox"/> Pending. <input type="checkbox"/> Not Implemented
Faculty and Staff	<ul style="list-style-type: none"> * Civil rights laws and regulations * Public notification * LEP Plan * Title VI. 	<ul style="list-style-type: none"> • Face-to-Face or Virtual. 	<ul style="list-style-type: none"> • Mandatory/Start of the semester. 	<ul style="list-style-type: none"> • Offered at the beginning of academic semester or during College Meetings. 	<ul style="list-style-type: none"> • Sign-in sheet • Logs. 	<ul style="list-style-type: none"> <input type="checkbox"/> Fully Implemented <input type="checkbox"/> Partially Implemented <input type="checkbox"/> Pending. <input type="checkbox"/> Not Implemented

All Employees	<ul style="list-style-type: none"> * Civil rights & related laws and regulations (Title VI) * Title IX (Sex Harassment) * Customer services & conflict resolution * Complaint procedure. 	• During orientation for new employees.	• Mandatory/One time.	• During onboarding.	• Logs.	<input type="checkbox"/> Fully Implemented <input type="checkbox"/> Partially Implemented <input type="checkbox"/> Pending. <input type="checkbox"/> Not Implemented
PIs and/or Graduate Students	<ul style="list-style-type: none"> * Parity analysis * Compliance plan * Q&A. 	• Face-to-Face or Virtual.	• Optional/As needed.	• Any time.	• Logs.	<input type="checkbox"/> Fully Implemented <input type="checkbox"/> Partially Implemented <input type="checkbox"/> Pending. <input type="checkbox"/> Not Implemented .
Administrators	<ul style="list-style-type: none"> * Civil rights & related laws and regulations * Title IX (Sex Harassment) * Customer services & conflict resolution * Resource allocation * Compliance plan * Complaint procedure * Barrier analysis. * Internal compliance review plan. 	• Face-to-Face or Virtual.	• Mandatory/Annually.	• During Deans Council, Chairs Meetings, administrator meeting.	• Logs.	<input type="checkbox"/> Fully Implemented <input type="checkbox"/> Partially Implemented <input type="checkbox"/> Pending. <input type="checkbox"/> Not Implemented.
External Board Members	<ul style="list-style-type: none"> * Civil rights & related laws and regulations * Title IX (Sex Harassment) * Customer services & conflict resolution. * Complaint procedure. 	• Face-to-Face or Virtual.	• Mandatory/Annually.	• Offered in Summer at CALNS Retreat.	• Certificate • Logs.	<input type="checkbox"/> Fully Implemented <input type="checkbox"/> Partially Implemented <input type="checkbox"/> Pending. <input type="checkbox"/> Not Implemented.
PIs and/or Graduate Students	<ul style="list-style-type: none"> * Parity analysis * Compliance plan * Public notification * Q&A. 	• Brown bag meetings.	• N/A.	• Open.	• Sign-in sheet • Logs.	<input type="checkbox"/> Fully Implemented <input type="checkbox"/> Partially Implemented <input type="checkbox"/> Pending. <input type="checkbox"/> Not Implemented
All employees and Graduate Students	<ul style="list-style-type: none"> * Any emerging issue/topic * Updates * Public notification. 	• Newsletter, flyers, factsheets.	• Quarterly.	• Open.	• N/A.	<input type="checkbox"/> Fully Implemented <input type="checkbox"/> Partially Implemented <input type="checkbox"/> Pending. <input type="checkbox"/> Not Implemented.



AAMU-CALNS CIVIL RIGHTS SELF-ASSESSMENT

Completion Date: _____

Item	Description	Evidence	Determination	Notes
SA23.1	<p>Organizational Capacity</p> <p><i>AAMU Research/Experiment Station (CALNS) has designated at least one employee to coordinate and monitor compliance with its responsibilities under federal and state nondiscrimination laws, Title IX, and Section 504.</i></p> <p><i>AAMU Research/Experiment Station coordinators have obtained training regarding their responsibilities under these laws.</i></p> <p>Legal authority: Title IX, 34 C.F.R. Sec.106.8 and 34. C.F.R. Sec. 106.45; Section 504, 34 C.F.R. Sec.104.7; Title II, 28 C.F.R. Sec.35.107;</p>	<p>CALNS or University Level</p> <p>A. The Civil Rights Coordinator, Title IX Coordinator, and Section 504 Coordinator rolls have been assigned to staff.</p> <p>B. The Coordinators have obtained sufficient training in their coordinator responsibilities under federal and state laws.</p> <p>Documentation could include a completed self-training checklist, relevant training materials, agendas, or certificates of attendance.</p>	<p><input type="checkbox"/> Fully Implemented</p> <p><input type="checkbox"/> Partially Implemented</p> <p><input type="checkbox"/> Not Implemented</p> <p><input type="checkbox"/> Needs/Requests Program Support</p>	
SA23.2	<p>Required Policies and Procedures</p> <p><i>AAMU Research/Experiment Station has discrimination complaint and appeal procedures</i></p> <p><i>AAMU Research/Experiment Station has a sexual harassment policy and procedure that are consistent with the requirements in the federal civil rights laws and regulations.</i></p> <p>Legal authority: Title IX, 34 C.F.R. Sec.106; Section 504, 34 C.F.R. Sec.104.7; Title II, 28 C.F.R. Sec.35.107.</p>	<p>CALNS Level or University Level</p> <p>A. CALNS uses the university's student nondiscrimination policy and procedure.</p> <p>B. CALNS uses the university's employee nondiscrimination policy and procedure.</p> <p>C. CALNS uses AAMU's student sexual harassment policy and procedure.</p> <p>D. CALNS uses AAMU's employee sexual harassment policy and procedure.</p>	<p><input type="checkbox"/> Fully Implemented</p> <p><input type="checkbox"/> Partially Implemented</p> <p><input type="checkbox"/> Not Implemented</p> <p><input type="checkbox"/> Needs/Requests Program Support</p>	

<p>SA23.3</p>	<p>Civil Rights Knowledge & Procedures</p> <p><i>AAMU Research/Experiment Station</i> helps faculty and staff to understand civil rights laws, rules, regulations, policies, and procedures, and to value diversity and inclusion within the organization.</p> <p>Legal authority: Title VI of the Civil Rights Act of 1964, as amended, 42 USC 2000d. • Section 504 of the Rehabilitation Act of 1973, as amended, 19 USC 794. • Americans with Disabilities Act of 1990, 42 USC 12101 et. seq. • Age Discrimination Act of 1975, 42 USC 601 et. seq. • Title IX of the Education Amendments of 1972, et. seq. • Civil Rights Restoration Act of 1987, P. L. 100-259, as amended by, Civil Rights • Restoration Act of 1991, P.L. 102-166. • USDA DR 4330-2, Nondiscrimination in Programs and Activities Receiving Federal Financial Assistance from USDA, dated March 3, 1999.</p>	<p>CALNS or University Level</p> <p>A. AAMU Research/Experiment Station has assessed the extent to which employees understand civil rights laws, rules, regulations, policies, and procedures.</p> <p>B. Determined availability and frequency of training events and opportunities for faculty and staff on diversity and civil rights laws, rules, regulations, policies, and procedures.</p> <p>C. Identified the extent to which faculty and staff have participated in civil rights training.</p> <p>D. Determined faculty and staff familiarity with content, location, and availability of applicable university policies and procedures concerning civil rights and diversity.</p>	<p><input type="checkbox"/> Fully Implemented</p> <p><input type="checkbox"/> Partially Implemented</p> <p><input type="checkbox"/> Not Implemented</p> <p><input type="checkbox"/> Needs/Requests Program Support</p>	
<p>SA23.4</p>	<p>Advisory Boards and Committees</p> <p><i>AAMU Research/Experiment Station</i> advisory board and committee members are selected on a nondiscriminatory basis without regard to race, color, religion, sex, age, national origin, sexual orientation, gender identity or expression, disability, or veteran status.</p>	<p>CALNS or University Level</p> <p>A. <i>AAMU Research/Experiment Station</i> maintains written selection and recruitment procedures/criteria for positions on all internal and external research-related advisory and awarding committees to ensure that:</p> <ul style="list-style-type: none"> • Internal and external advisory boards and committees are diverse, and/or are representative of the population of the county in relation to geographic areas being served. • Selection and appointment processes are used to staff local committees and advisory boards. • Develop an outreach plan to increase the participation of females within the advisory board. 	<p><input type="checkbox"/> Fully Implemented</p> <p><input type="checkbox"/> Partially Implemented</p> <p><input type="checkbox"/> Not Implemented</p> <p><input type="checkbox"/> Needs/Requests Program Support</p>	

<p>SA23.5</p>	<p>Resource Allocation</p> <p>AAMU Research/Experiment Station provides research support to faculty/principal investigators (PI) including research funds, graduate research assistants, laboratory technicians, post-doctoral researchers and administrative staff who make a significant contribution to CALNS research programs.</p> <p>CALNS resources are distributed on a nondiscriminatory basis without regard to race, color, religion, sex, age, national origin, sexual orientation, gender identity or expression, disability, or veteran status of the faculty/PI.</p>	<p>CALNS Level</p> <p>A. AAMU Research/Experiment Station maintains written policies/criteria describing how resources are distributed to principal investigators (PIs).</p> <p>B. AAMU Research/Experiment Station maintains REG data for PIs supported by program funds.</p> <p>C. AAMU Research/Experiment Station has developed measures and a recruitment strategy to address underrepresentation of female PIs.</p>	<p><input type="checkbox"/> Fully Implemented</p> <p><input type="checkbox"/> Partially Implemented</p> <p><input type="checkbox"/> Not Implemented</p> <p><input type="checkbox"/> Needs/Requests Program Support</p>	
<p>SA23.6</p>	<p>Annual Notifications</p> <p>AAMU Research/Experiment Station annually notifies all employees and students about the discrimination complaint procedure and sexual harassment policy in student and employee handbooks.</p>	<p>CALNS Level</p> <p>A. AAMU's student handbook (or similar publications) includes information about the discrimination complaint procedure and sexual harassment policy.</p> <p>B. AAMU's faculty and staff handbooks (or similar publication on the university website) includes information about the discrimination complaint procedure and sexual harassment policy.</p>	<p><input type="checkbox"/> Fully Implemented</p> <p><input type="checkbox"/> Partially Implemented</p> <p><input type="checkbox"/> Not Implemented</p> <p><input type="checkbox"/> Needs/Requests Program Support</p>	
<p>SA23.7</p>	<p>Continuous Notifications</p> <p>AAMU Research/Experiment Station provides continuous notice that it does not discriminate based on race, color, national origin, sex, sexual orientation, gender identity, gender expression, creed, religion, age, veteran or military status, disability, or the use of a trained dog guide or service animal by a person with a disability.</p>	<p>CALNS Level</p> <p>A. The nondiscrimination statement is included in major publications that are widely disseminated to students, employees, or public including: Newsletter or similar publications, job announcements and employment applications, and department publications, announcements, or student recruitment materials.</p> <p>B. The CALNS's nondiscrimination statement includes the following:</p> <ul style="list-style-type: none"> • Notice that the AAMU Research/Experiment Station does not 	<p><input type="checkbox"/> Fully Implemented</p> <p><input type="checkbox"/> Partially Implemented</p> <p><input type="checkbox"/> Not Implemented</p> <p><input type="checkbox"/> Needs/Requests Program Support</p>	

	<p>Legal authority: Title VI, 34 C.F.R. Sec.100.6; Title IX, 34 C.F.R. Sec.106.9; Section 504, 34 C.F.R. Sec.104.8; Title II, 28 C.F.R. Sec.35.106; Boy Scouts Act, 34 C.F.R. Sec.108.6;</p>	<p>discriminate based on race, color, national origin, sex, sexual orientation, gender identity, gender expression, creed, religion, age, veteran or military status, disability, or the use of a trained dog guide or service animal by a person with a disability.</p> <ul style="list-style-type: none"> • Notice that AAMU Research/Experiment Station provides equal access to all its programs. <p>C. CALNS posts the Sexual Harassment and Justice for All Poster in a location visible to both students, employees and visitors. Documentation could include photos of postings (indicating the location of posters) or a log of poster locations.</p>		
<p>SA23.8</p>	<p>Section 504</p> <p><i>AAMU Research/Experiment Station identifies, evaluates, and places students with disabilities in compliance with Section 504 and has implemented the legal standards under the ADA Amendments Act of 2008 (such as changes regarding major life activities, mitigating measures, etc.).</i></p> <p><i>AAMU Research/Experiment Station conducts manifestation determinations before removing a student with a disability from their current placement because of a behavioral violation.</i></p> <p>Legal authority: Section 504, 34 C.F.R. Part 104.</p>	<p>CALNS or University Level</p> <p>A. Through AAMU Office of Disability Services, AAMU Research/Experiment Station conducts manifestation determinations for a Section 504-eligible student before removing the student from their current placement because of a behavioral violation.</p> <p>Documentation could include use of a manifestation determination form.</p>	<p><input type="checkbox"/> Fully Implemented</p> <p><input type="checkbox"/> Partially Implemented</p> <p><input type="checkbox"/> Not Implemented</p> <p><input type="checkbox"/> Needs/Requests Program Support</p>	



Civil Rights Compliance: Internal Checklist & Filing Guide

Completion Date:

Department Chairs and Program Directors should use this checklist as a guide to lead faculty and staff through an annual review of progress toward the goals outlined in the Civil Rights Plan, and to make sure their program's compliance procedures and files are up-to-date. The checklist is used in the internal Civil Rights Compliance Review, as outlined in the Civil Rights Policies and Procedures.

The following documentation must be kept in the program's civil rights file for **3 years**. All documentation must be updated annually. It is highly recommended this information be stored electronically.

1. Planning and Advisory Committee Files—Composition and Process

- Program Civil Rights Plan** - The current Civil Rights Plan has been reviewed by all faculty and staff, and updated annually.
- Advisory Committee Members** - The internal and external Advisory Committee membership lists, which includes the name of the membership lists and the ethnic background and gender of the members is up to date. This list should also include the designation of members who represent Limited English Proficiency (LEP) populations where necessary.

2. Public Notification Efforts Files

- Statement of Nondiscrimination** - AAMU's statement of nondiscrimination must be on all printed or electronic material. Include meeting announcements, email notices, flyers, brochures, actual articles or submitted copy etc. for radio and TV stations, newspapers, and web pages. Record dates of release or use, as well as a list of outlets where submitted.
 - Reasonable Accommodation Statement** - AAMU's Reasonable Accommodation statement must be on all meeting and training announcements. Include actual articles or submitted copy to newspapers, radio and TV, flyers, brochures, enewsletter announcements, etc. showing reasonable Accommodations statements. The statement must include the procedure a potential participant would use to request a Reasonable Accommodation due to a medical or physical condition.
-

AAMU Annual Civil Rights Review Checklist and Filing Guide

- Advertisements** - A list of various media outlets, including those that have potential to reach underserved audiences within our county.
- Required Posters** - A "And Justice for All" poster is prominently displayed in all main public areas and in all meeting rooms. AAMU faculty and staff should bring copies of the poster to post at off-site meetings, trainings, and events. If service area demographics indicate the potential for high non-English speaking audiences (10% or greater), you should display the poster in the language of that population (if available from USDA).

3. Program Implementation and Participation Files

- Reporting Contacts** - Faculty and staff in the office report outreach to underrepresented groups through the annual Reporting Contacts spreadsheet. Balanced participation occurs when the ethnicity, race, gender, age, religion, and economic characteristics of participants across all programs are representative of AAMU service area population as a whole. Programs are in compliance when participation has reached 80%. If balanced participation was not reached, include documentation explaining the differences between the percentages of population in the service area (ethnic, age, gender, etc.) and the percentages of populations reached in each strategic goal.
- Limited English Proficiency (LEP) populations** - These populations must be identified and public notification and programs have addressed the needs of these populations according to the Civil Rights Laws and Regulations.
- Mailing Lists** - If you communicate with groups and/or advertise programs by mail or email, you must keep two separate address lists. On list #1, only include the client name and address - do not include ethnicity or gender on this list. On list #2, only include the client name and their ethnicity and gender – do not include addresses on this list.
- ADA Compliance and Special Accommodations** – If you have a request for reasonable accommodations you must respond to the request. Include program flyer, a description of program content, meeting sites and times, and description of accommodation(s) made.
- ADA Compliant** - Program meeting areas must be ADA accessible. The ADA Checklist must be completed for all spaces used, which addresses entrances and restrooms. If the area is not ADA accessible, there is a detailed site plan to address accessibility.

AAMU Annual Civil Rights Review Checklist and Filing Guide

- Organizational Compliance Statements or Bylaws** - Documentation of nondiscrimination is required from all non-public organizations with whom we partner before providing any service to the group (e.g. a copy of by-laws with non-discrimination language included, signed statement, signed letter, or membership list showing protected classes). These must be updated every 3 years.
- Meeting Notices, Participation Rosters for Meetings, and Meeting Minutes** - Representative samples of program meeting notices, participant rosters, and meeting minutes. Include the following documents:
 - a. Advisory Committees
 - b. Field experiments, Fairs, other
 - c. Exhibitions
 - d. Volunteer Training Events
 - e. Public Events

4. Documentation and Reporting Files

- Training Plan and Records** - All Training documentation and training plans for faculty, staff, and volunteers around civil rights and AAMU's commitment to diversity must be documented. It's important to include the date and names of participants in training. Include the following training documents: Civil Rights training schedule and topics to be addressed for the next year. (This may be a formal schedule, or copies of minutes from meetings that include discussion of the schedule.)
- Position Descriptions** - All new position descriptions have been reviewed to make sure they include civil rights and diversity language.
- Reports, Impact Statements, Success Stories** - AAMU Research faculty and program delivery staff report outcomes related to efforts outlined in the AAMU civil rights plan through a survey questionnaire that allows them to document impact statements and success stories that have occurred.
- Affirmative Action Practices** - Make sure all faculty, staff, and volunteers are aware of AAMU's affirmative action policies and where they are located on the website and that faculty and staff have the website bookmarked.
- Complaint Procedures** - Faculty, staff, and volunteers know and understand the procedure to follow for grievances and complaints related to civil rights compliance. Faculty, staff, and volunteers know AAMU's procedure for filing employment discrimination and sexual harassment complaints. Contact the Office of Human Resources at 256-372-5835.



Written Notification Letter

Dear _____

The Civil Rights Act of 1964 states in part: “No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.”

The Educational Amendments of 1972 states in part: “No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.”

The Age Discrimination Act of 1975 states in part: “No person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.”

The Americans with Disabilities Act of 1990 gives civil rights protection to individuals with disabilities. ADA generates equal opportunity to individuals with disabilities in employment, public accommodations, transportation, state and local government services and telecommunications.

AAMU Research Experiment Station is funded from federal, state, and county funds; and, therefore, is subject to the provisions, rules, and regulations of this legislation.

The AAMU Affirmative Action Plan states that the AAMU Research Experiment Station cannot provide significant assistance to any organization that excludes any person from membership or participation because of race, color, religion, national origin, sex, age, or disability. It further states that the AAMU Research Experiment Station staff must have a letter on file from groups or organizations to which they provide significant assistance certifying that discriminatory practices are not followed.

For our records, would you sign the certification statement at the bottom of this letter and return this letter to us. We have enjoyed our continued working relationship with your group and look forward to working with you in the future.

Sincerely,

James O. Bukenya, Ph.D., CCEP
Director, Office of Research Compliance/Civil Rights Coordinator

This is to certify that _____ does not exclude any person from membership or participation because of race, color, religion, national origin, sex, age, or disability.

(NAME) _____

(TITLE) _____

Signature (DATE) _____



External Advisory Board

By federal law, new advisory committee members should be selected on a nondiscriminatory basis without regard to “race, color, religion, sex, age, national origin, sexual orientation, gender identity or expression, disability, or veteran status.”

Unit/Department:				
	Name and Affiliation	Race	Ethnicity	Gender
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				

Submitted by _____ Title _____ Date _____

Return/send completed form to:

Director, Office of Research Compliance and Civil Rights Coordinator
 James Dawson Building, Room 316K; Phone: 256-372-5729.

Email: research.compliance@aamu.edu



OUTREACH PLAN: CIVIL RIGHTS

GOAL: The goal of the outreach plan is to increase the compositional diversity of the advisory board members by increase the participation of female members.

Strategies	Guiding Questions for Team Leaders	Planned Actions	Activities
<p>Strategy 1: Develop alternative methods for engagement.</p>	<ul style="list-style-type: none"> ▪ Do you have non-traditional methods of outreach to get people (women) involved in activities organized by your program? ▪ Do you offer multiple ways for contributing input and feedback from stakeholders? 	<p>We will provide opportunities for social interaction and relationship building (targeting women), and offer opportunities for community members (focusing on women) to pick interest in our programs and give feedback.</p>	<ul style="list-style-type: none"> ▪ Increased awareness of ongoing efforts to gain input ▪ Attend community driven events and activities. ▪ Going to places where people already gather ▪ Attend community driven events and activities.
<p>Strategy 2: Maintain a presence within the community.</p>	<ul style="list-style-type: none"> ▪ Are there community driven events that your Department/unit can participate in and that people (especially women) will already be gathering for? ▪ Do community members see you out, regularly, in the community? 	<p>We will increase our attendance at community driven events and activities, and establish places in the community that people (especially women) can have sustained, informal interactions with our staff and students.</p>	<ul style="list-style-type: none"> ▪ Increased awareness of ongoing efforts to gain input ▪ Attend community driven events and activities. ▪ Going to places where people already gather ▪ Attend community driven events/activities.
<p>Strategy 3: Partner with diverse organizations and agencies.</p>	<ul style="list-style-type: none"> ▪ Are there organizations that currently have relationships with your target populations (women) that you can connect with (remember to consider power dynamics)? ▪ Have any agencies or organizations successfully implemented similar programs or initiatives (perhaps on a smaller scale or in another community) that you can solicit advice from? 	<p>We will connect with local and regional organizations, such as <i>Women in Agriculture</i>, who are already culturally tied to the target community or are currently providing services to our clients; and create a network of services and collaborations.</p>	<p>Target organizations such as:</p> <ul style="list-style-type: none"> ▪ Farm organizations such as ALFA. ▪ Chambers of Commerce ▪ Research Institutes such as the Hudson Alpha Institute for Biotechnology, HSV, AL. ▪ Ag. Professional Organization ▪ Industry partners, etc.
<p>Strategy 4: Developing an ongoing recruitment plan targeting female candidates.</p>	<ul style="list-style-type: none"> ▪ Do you have a Department recruitment committee in place? ▪ What communication modes are you using for recruitment? 	<p>We will develop ongoing information sharing to maintain community relationships and build trust in the process, especially if culturally appropriate communication methods such as web-based, are used.</p>	<ul style="list-style-type: none"> ▪ Web-based communications, for example, may exclude stakeholder groups without regular access to the Internet, and should be supplemented by other methods for greater reach across groups.



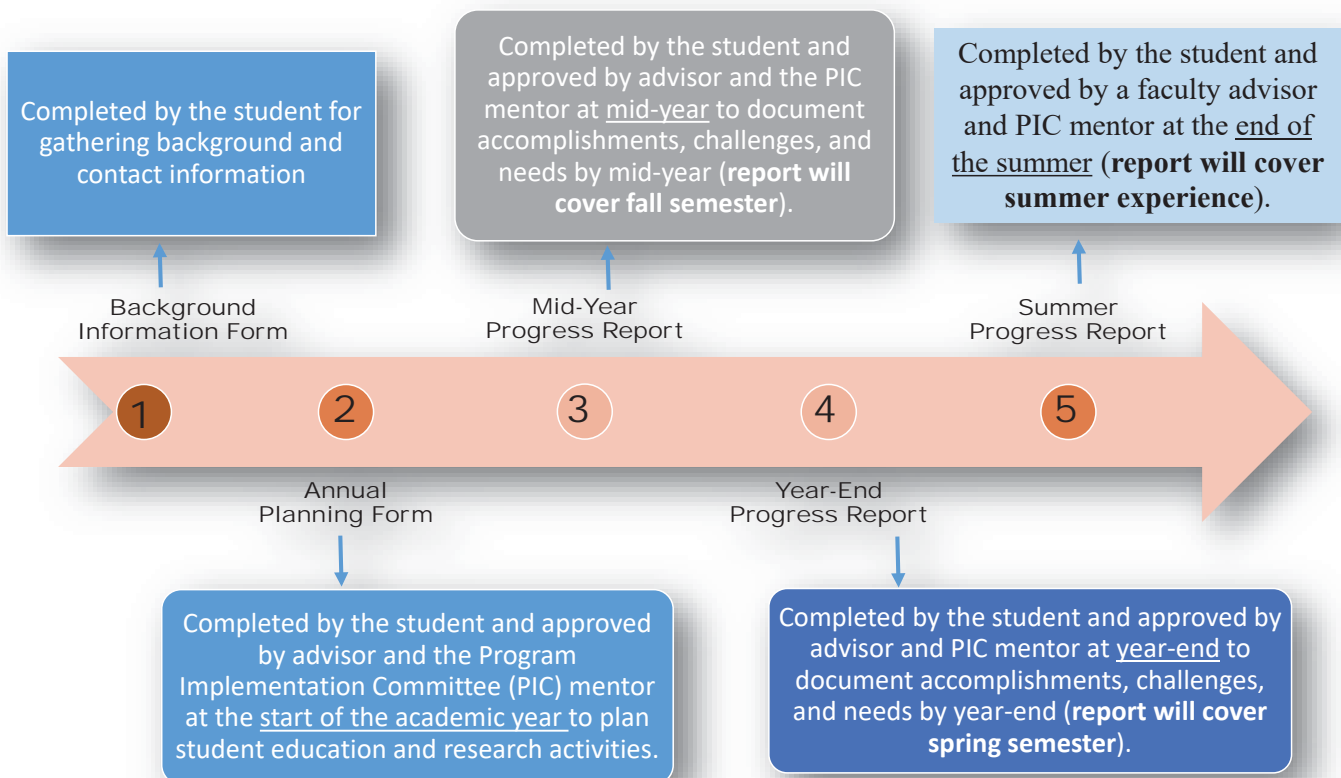
ALABAMA A&M UNIVERSITY

Service is Sovereignty • Founded 1875



Student Development Plan

Components of the Individualized Student Development Plan



STEP 1: Background Information and Self-Assessment

Student Name: _____ A#: _____ Classification: _____

Program of Study: _____ Department: _____

Program Mentor: _____

Self-assessment.

Take some time to assess your skills. The goals you will include in your Individual Development Plan (IDP) are based on the strengths and areas needing improvement you identify, together with the milestone activities that mark successful progress through your program (e.g., preparing for graduate school), plus any other specific skills and knowledge needed to prepare for your career. The suggested assessment items listed below are intended to cover basic/common skill areas across a broad range of fields. **Make sure you tailor the list to meet your own assessment needs by adding items, such as discipline- or career-specific skills that you become aware of after discussions with your mentors or others.**

How proficient do you think you are in the following areas?

COMPETENCY: COMMUNICATION

1=Needs improvement	5=Highly proficient	1	2	3	4	5	N/A
Writing for a general audience							
Writing for a discipline-specific audience							
Oral presentation for a general audience							
Oral presentation for a discipline-specific audience							
Social media communication and etiquette							
Email communication and etiquette							
Connecting with mentors							
Ability to receive constructive feedback							
Ability to give constructive feedback							
Networking inside your academic program							
Networking outside your academic program							
Other:							

Notes (Feel free to expand on anything):

COMPETENCY: PROFESSIONALISM
(Leadership, scholarly integrity, transferable skills)

1=Needs improvement	5=Highly proficient	1	2	3	4	5	N/A
Respecting contributions of others							
Demonstrating cultural competence							
Working with diverse groups/teams							
Avoiding conflicts of interest							
Demonstrating responsible academic and professional conduct							
Demonstrating skills useful in diverse academic and professional settings							
Motivating others							
Managing projects and time							
Assuming leadership positions							
Participating in service opportunities							
Other:							
Notes (Feel free to expand on anything):							

COMPETENCY: CAREER DEVELOPMENT

1=Needs improvement	5=Highly proficient	1	2	3	4	5	N/A
CV/Résumé building							
Establishing career goals							
Awareness of career opportunities in your field							
Awareness of career-oriented graduate certificates							
Attending career-oriented professional development workshops							
Exploring career-focused academic certificates							
Awareness of the different minors within CALNS, and how you can use a minor to help your career development							
Knowing where to go for help on financial aid, housing, etc.							
Other:							
Notes (Feel free to expand on anything):							

STEP 2: Annual Planning

What are your current responsibilities or requirements?

What are your career goals?

As part of the assessment process, and in preparation for creating a truly individualized IDP, ask yourself some questions related to your current responsibilities/requirements and career goals. Doing so will lead you to actions or goals to incorporate into your plan. Focus on developing skills that will lead to your success in your current position and beyond.

Future Position

What type of work would you like to do?

What is important to you in your future career?

What competencies are required for your chosen career?

How well do your current skills match the competencies required for your chosen career?

What are your short-term goals related to career exploration? (Examples: Learn how to write scientific Papers; conduct informational interviews; find out where graduates in my field are working/finding careers...)

How will you develop contacts—a network—related to your academic and career exploration goals?

Currently

What are the requirements and responsibilities you must meet during the next year? Two years?

What are the technical skills or discipline-specific knowledge that you need to develop?

What scholarly activities would you like to accomplish or work toward during the next year? Two years? (Examples: Join a professional organization, present at a conference, co-author a paper?)

Write your Individual Development Plan (IDP)

Some important things to remember in writing your IDP:

- It is a living document that will and should be updated and changed as often as necessary.
- Identify specific and achievable objectives or skills to be learned (column 1).
- Write these in a way that makes very clear what you are going to do.

The goals should be **Specific, Measurable, Attainable, Relevant, and Time-limited**¹.

A **specific** goal will usually answer the five "W" questions:

What: What do I want to accomplish?

Why: Specific reasons, purpose or benefits of accomplishing the goal

Who: Who is involved?

Where: Identify a location

Which: Identify requirements and constraints

A **measurable** goal will usually answer questions such as:

How much? / How many? / How will I know when it is accomplished?

An **attainable** goal will usually answer the question:

How: How can the goal be accomplished?

¹ Meyer, Paul J (2003). "What would you do if you knew you couldn't fail? Creating S.M.A.R.T. Goals". Attitude Is Everything: If you want to succeed above and beyond. Meyer Resource Group, Incorporated.

A **relevant** goal can answer yes to these questions:

Does this seem worthwhile?

Is this the right time? / Am I the right person?

Does this match my/our other efforts/needs?

A **time-limited** goal will usually answer the questions:

When? / What can I do six months from now? / What can I do six weeks from now?

What can I do today?

- Define approaches and strategies (column 2), and include a timeframe for beginning and completing the actions you have outlined (column 3).
- Make sure to have an outcome statement that is clear enough to allow someone (including you) to know whether you have met your goal (column 4)

GOALS

1. Communication Goals

Goals/skills to be learned	Approaches or strategies ²	Timeframe	Outcomes ³
Example: Initiate mentoring relationships.	Interact with academic program faculty and graduate students further along in the program. Attend mentoring workshop/seminar.	Academic year, 2020-2021	Established mentoring relationships

² Think about the resources, experiences, and/or activities you will need to help you accomplish your goal.

³ Think about what you will see, do or be when you accomplish this goal. How will you reach it? If it is difficult to say, you need to reframe the goal to be more concrete, specific and actionable.

2. Professionalism Goals (Leadership, scholarly integrity, transferable skills)

Objectives/skills to be learned	Approaches or strategies	Timeframe	Outcomes
Example: Receive training in professional research/creative ethics.	Enroll in Responsible Conduct of Research/Creative Endeavors Course (RCRC).	Spring 2021	Demonstrate ability to identify the nine core areas of RCRC. Complete the RCRC Post-test with 80% rate of accuracy

3. Career Development Goals

Objectives/skills to be learned	Approaches & strategies	Timeframe	Outcomes
Example: Create a Curriculum Vitae (CV).	Attend a CV workshop. Meet with a Career Center advisor to critique CV. Make revisions as needed.	2020-2021 academic year	A professional CV



Inclusive Excellence at the AAMU College of Agricultural, Life and Natural Sciences (CALNS): Recruitment and Retention Evaluation Rubric

Access and Success

Goal: Achieve a more diverse and inclusive graduate student body.

Objective 1: To achieve increased enrollments of underrepresented graduate student populations.

Goal	Initiative with timeline	Completed action items	Metrics (baseline and current)	Person Responsible	Expenditures (note if using State funding)

Objective 2: To increase the academic success of historically underrepresented/underserved populations.

Goal	Initiative with timeline	Completed action items	Metrics (baseline and current)	Person Responsible	Expenditures (note if using State funding)

Objective 3: To increase the recruitment and retention of a diverse graduate and professional student community.

Goal	Initiative with timeline	Completed action items	Metrics (baseline and current)	Person Responsible	Expenditures (note if using State funding)

Education and Scholarship

Goal: Engage students, faculty and staff in learning varied perspectives of domestic and international diversity, inclusion, and social justice.

Objective 1: Offer courses, curricula, and learning opportunities at the graduate levels that achieve diversity and inclusion learning goals.

Goal	Initiative with timeline	Completed action items	Metrics (baseline and current)	Person Responsible	Expenditures (note if using State funding)

Objective 2: Increase the multicultural competencies and capacities of faculty and staff.

Goal	Initiative with timeline	Completed action items	Metrics (baseline and current)	Person Responsible	Expenditures (note if using State funding)

Institutional Infrastructure

Goal: Create and sustain an institutional infrastructure that effectively supports progress in achieving diversity goals in the University Strategic Plan.

Objective 1: Sustain and increase university-wide efforts designed to amplify the potential to secure gifts, grants, and opportunities to advance the goals outlined in this framework.

Goal	Initiative with timeline	Completed action items	Metrics (baseline and current)	Person Responsible	Expenditures (note if using State funding)

Community Engagement

Goal: Leverage the University’s mission as a state-wide system of institutions to improve outcomes and reduce disparities for historically underrepresented and underserved populations in Alabama and in global outreach efforts.

Objective 1: Increase outreach to historically and underserved/diverse populations throughout Alabama

Goal	Initiative with timeline	Completed action items	Metrics (baseline and current)	Person Responsible	Expenditures (note if using State funding)

Objective 2: Provide leadership in inclusion, diversity, and equity throughout state

Goal	Initiative with timeline	Completed action items	Metrics (baseline and current)	Person Responsible	Expenditures (note if using State funding)

Note: Your unit may not necessarily have projects listed in every category above.



Language Access Plan for Limited English Proficiency Persons

Purpose: In Compliance with Executive Order 13166, The Alabama A&M University (AAMU) Research Experiment Station housed in the College of Agricultural, Life and Natural Sciences (CALNS) has developed the following Language Access Plan (LAP) for Limited English Proficiency (LEP) persons.

History: Title VI of the Civil Rights Act of 1964 is the federal law which protects individuals from discrimination on the basis of their race, color, or national origin in programs that receive federal financial assistance. In certain situations, failure to ensure persons who have limited English proficiency can effectively participate in, or benefit from, federally assisted programs may violate Title VI's prohibition against national origin discrimination.

Persons who, as a result of national origin, do not speak English as their primary language and who have limited ability to speak, read, write, or understand English may be entitled to language assistance under Title VI to receive a particular service, benefit, or encounter.

AAMU Research Experiment Station's Four-Factor Analysis: The following four-factor analysis will serve as the guide for determining which language assistance measures CALNS will undertake to guarantee access to the Research Experiment Station's programs by LEP persons. Additionally, all sub-recipient and collaborators will be required to use the same four-factor analysis.

1. Number or proportion of LEP persons served or encountered in the eligible service population (served or encountered includes those persons who would be served by the sub-recipient if the person received education and outreach and the sub-recipient provided sufficient language services).

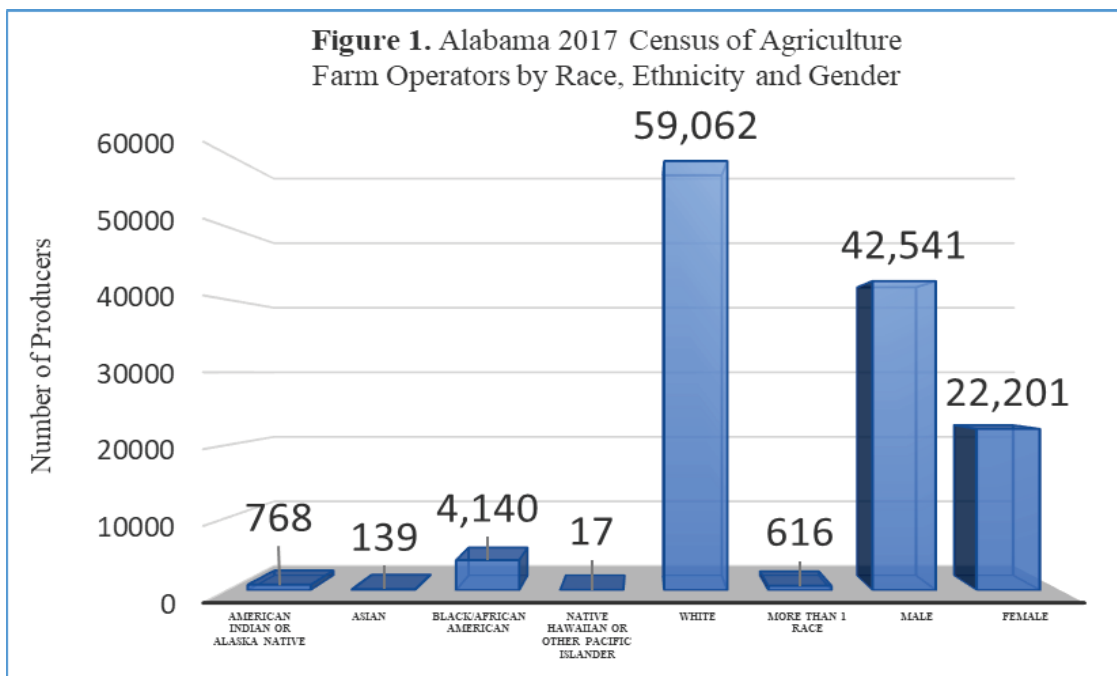
Determining the LEP Population

Farm operators are likely to benefit from day-to-day research results, participate in research activities, have routine contact with faculty and graduate students, directly receive research results, etc. Therefore, it is important to understand the makeup and general needs of this section of our clientele. Based on the 2017 U.S. Census of Agriculture there were 64,742 farm operators in Alabama. Of these principal operators, 24,509 farming was their primary occupation and 48,791 place of residence was on the farm. For the purposes of this review and

general conversations, data in Table 1 show the race, ethnicity, and gender demographics of the farm operators. Data in Table 1 shows Alabama has diversity among farm operators. However, farm operators were majority White and male.

Table 1. 2017 U.S. Census of Agriculture Alabama Farm Operators Demographics	
Race, Ethnicity and Gender	Operators
American Indian Or Alaska Native	768
Asian	139
Black/African American	4,140
Native Hawaiian or Other Pacific Islander	17
White	59,062
More than 1 race	616
Male	42,541
Female	22,201

Furthermore, Agriculture Census data in Figure 1 shows there are relatively few female and minority farm operators in Alabama. Black/African American accounted for 4,140 of the 64,742 producers making them the largest racial minority group. There were no Hispanics reported in the data, making them the least represented racial minority group.



Lastly, CALNS utilized Census 2000 Special Tabulation 194 and Table 2, Summary Social, Economic, and Housing Characteristics. Based on this data, Alabama meets the 1,000 LEP person threshold for Spanish or Spanish Creole

speaking LEP persons, other Indo European language speaking LEP persons, and Asian and Pacific Island language speaking LEP persons (see table); however, as the latter two are comprised of several hundred related languages and dialects, it does not appear any one of these would meet the threshold. Additionally, three counties have LEP populations exceeding the 1,000-persons threshold (Jefferson, Madison, and Mobile Counties).

2. The frequency with which the LEP persons come into contact with AAMU Research Experiment Station's programs.
3. The nature and importance of the program, activity, or service provided by the programs.
4. The resources available and costs to the recipient.

Implementation Plan

Language assistance will be provided with competent bilingual staff, contracts or formal arrangements with organizations providing interpretation or translation services, or technology and telephonic interpretation services. These and other aids needed to comply with this policy will be provided without cost to persons accessing services.

Currently, AAMU Research Experiment Station has a contract with [Alamex Translation Service](#) to provide oral and written translation services on an as needed basis. To access their language identification site [click here](#).



Alamex, LLC
104 Southside Square
Huntsville, AL 35801
Tel. 256-532-4050
<https://alamexllc.com/>

Area Name	Total	Do Not Speak English Well	Do Not Speak English as % of Total	Speak Spanish or Creole	Speak Spanish or Creole as % of Total	Speak Other Indo European	Speak Other Indo European as % of Total	Speak Asian or Pacific Islander	Speak Asian or Pacific Islander as % of Total	Speak Other	Speak Other as % of Total
Autauga	43671	270	0.62%	125	0.29%	120	0.27%	25	0.06%	0	0.00%
Baldwin	140415	795	0.57%	495	0.35%	210	0.15%	90	0.06%	0	0.00%
Barbour	29038	165	0.57%	90	0.31%	65	0.22%	0	0.00%	0	0.00%
Bibb	20826	65	0.31%	40	0.19%	0	0.00%	0	0.00%	0	0.00%
Blount	51024	295	0.58%	255	0.50%	0	0.00%	0	0.00%	0	0.00%
Bullock	11714	105	0.90%	80	0.68%	0	0.00%	0	0.00%	0	0.00%
Butler	21399	115	0.54%	85	0.40%	0	0.00%	0	0.00%	0	0.00%
Calhoun	112249	705	0.63%	335	0.30%	230	0.20%	0	0.00%	0	0.00%
Chambers	36583	150	0.41%	80	0.22%	65	0.18%	0	0.00%	0	0.00%
Cherokee	23988	20	0.08%	10	0.04%	10	0.04%	0	0.00%	0	0.00%
Chilton	38593	230	0.60%	160	0.41%	0	0.00%	0	0.00%	0	0.00%
Choctaw	15922	95	0.60%	55	0.35%	35	0.22%	4	0.03%	0	0.00%
Clarke	27867	90	0.32%	50	0.18%	0	0.00%	0	0.00%	0	0.00%
Clay	14254	85	0.60%	70	0.49%	15	0.11%	0	0.00%	0	0.00%
Cleburne	14123	50	0.35%	40	0.28%	10	0.07%	0	0.00%	0	0.00%
Coffee	43615	385	0.88%	190	0.44%	100	0.23%	0	0.00%	0	0.00%
Colbert	54984	220	0.40%	145	0.26%	0	0.00%	45	0.08%	0	0.00%
Conecuh	14089	65	0.46%	30	0.21%	0	0.00%	0	0.00%	0	0.00%
Coosa	12202	45	0.37%	25	0.20%	0	0.00%	0	0.00%	0	0.00%
Covington	37631	115	0.31%	65	0.17%	35	0.09%	20	0.05%	0	0.00%
Crenshaw	13655	20	0.15%	20	0.15%	0	0.00%	0	0.00%	0	0.00%
Cullman	77483	325	0.42%	215	0.28%	70	0.09%	0	0.00%	0	0.00%
Dale	49129	490	1.00%	235	0.48%	145	0.30%	0	0.00%	0	0.00%
Dallas	46365	145	0.31%	65	0.14%	60	0.13%	0	0.00%	0	0.00%
DeKalb	64452	450	0.70%	350	0.54%	0	0.00%	0	0.00%	0	0.00%
Elmore	65874	365	0.55%	235	0.36%	75	0.11%	35	0.05%	20	0.03%
Escambia	38440	120	0.31%	75	0.20%	25	0.07%	0	0.00%	0	0.00%
Etowah	103459	395	0.38%	230	0.22%	95	0.09%	0	0.00%	0	0.00%

Area Name	Total	Do Not Speak English Well	Do Not Speak English Well as % of Total	Speak Spanish or Creole	Speak Spanish or Creole as % of Total	Speak Other Indo European	Speak Other Indo European as % of Total	Speak Asian or Pacific Islander	Speak Asian or Pacific Islander as % of Total	Speak Other	Speak Other as % of Total
Fayette	18495	45	0.24%	25	0.14%	20	0.11%	0	0.00%	0	0.00%
Franklin	31223	220	0.70%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Geneva	25764	130	0.50%	70	0.27%	45	0.17%	0	0.00%	0	0.00%
Greene	9974	45	0.45%	30	0.30%	0	0.00%	0	0.00%	0	0.00%
Hale	17185	45	0.26%	0	0.00%	20	0.12%	0	0.00%	0	0.00%
Henry	16310	70	0.43%	45	0.28%	0	0.00%	0	0.00%	0	0.00%
Houston	88787	325	0.37%	135	0.15%	105	0.12%	0	0.00%	0	0.00%
Jackson	53926	155	0.29%	75	0.14%	50	0.09%	0	0.00%	0	0.00%
Jefferson	662047	4555	0.69%	2475	0.37%	1210	0.18%	650	0.10%	220	0.03%
Lamar	15904	50	0.31%	0	0.00%	25	0.16%	0	0.00%	0	0.00%
Lauderdale	87966	425	0.48%	210	0.24%	180	0.20%	35	0.04%	0	0.00%
Lawrence	34803	185	0.53%	125	0.36%	0	0.00%	0	0.00%	0	0.00%
Lee	115092	805	0.70%	465	0.40%	0	0.00%	170	0.15%	0	0.00%
Limestone	65676	505	0.77%	335	0.51%	0	0.00%	90	0.14%	0	0.00%
Lowndes	13473	35	0.26%	15	0.11%	15	0.11%	0	0.00%	0	0.00%
Macon	24105	210	0.87%	185	0.77%	25	0.10%	0	0.00%	0	0.00%
Madison	276700	2160	0.78%	1040	0.38%	530	0.19%	520	0.19%	70	0.03%
Marengo	22539	100	0.44%	80	0.35%	15	0.07%	0	0.00%	0	0.00%
Marion	31214	95	0.30%	55	0.18%	0	0.00%	30	0.10%	0	0.00%
Marshall	82231	555	0.67%	460	0.56%	0	0.00%	0	0.00%	0	0.00%
Mobile	399843	2770	0.69%	1225	0.31%	715	0.18%	795	0.20%	30	0.01%
Monroe	24324	130	0.53%	110	0.45%	0	0.00%	0	0.00%	0	0.00%
Montgomery	223510	1670	0.75%	765	0.34%	345	0.15%	470	0.21%	85	0.04%
Morgan	111064	975	0.88%	730	0.66%	150	0.14%	0	0.00%	0	0.00%
Perry	11861	45	0.38%	30	0.25%	0	0.00%	0	0.00%	0	0.00%
Pickens	20949	90	0.43%	65	0.31%	0	0.00%	0	0.00%	0	0.00%
Pike	29605	170	0.57%	130	0.44%	20	0.07%	20	0.07%	0	0.00%

Area Name	Total	Do Not Speak English Well	Do Not Speak English Well as % of Total	Speak Spanish or Creole	Speak Spanish or Creole % of Total	Speak Other Indo European	Speak Other Indo European as % of Total	Speak Asian or Pacific Islander	Speak Asian or Pacific Islander as % of Total	Speak Other	Speak Other as % of Total
Randolph	22380	110	0.49%	50	0.22%	0	0.00%	0	0.00%	0	0.00%
Russell	49756	285	0.57%	160	0.32%	70	0.14%	55	0.11%	0	0.00%
St. Clair	64742	275	0.42%	190	0.29%	50	0.08%	0	0.00%	0	0.00%
Shelby	143293	885	0.62%	470	0.33%	310	0.22%	0	0.00%	0	0.00%
Sumter	14798	85	0.57%	60	0.41%	25	0.17%	0	0.00%	0	0.00%
Talladega	80321	350	0.44%	230	0.29%	90	0.11%	30	0.04%	0	0.00%
Tallapoosa	41475	165	0.40%	110	0.27%	0	0.00%	25	0.06%	0	0.00%
Tuscaloosa	164875	1020	0.62%	570	0.35%	285	0.17%	130	0.08%	40	0.02%
Walker	70713	260	0.37%	150	0.21%	0	0.00%	0	0.00%	0	0.00%
Washington	18097	70	0.39%	45	0.25%	0	0.00%	0	0.00%	0	0.00%
Wilcox	13183	65	0.49%	30	0.23%	10	0.08%	0	0.00%	0	0.00%
Winston	24843	65	0.26%	50	0.20%	0	0.00%	0	0.00%	0	0.00%
Total	4,402,419	26,305	0.60%	14,720	0.33%	5,555	0.13%	3,214	0.07%	465	0.01%



Limited English Proficiency Policy

Situation

On August 11, 2000, the President signed Executive Order 13166, "Improving Access to Services for Persons with Limited English Proficiency." The Executive Order requires Federal agencies to examine the services they provide, identify any need for services to those with limited English proficiency (LEP), and develop and implement a system to provide those services so LEP persons can have meaningful access to them. It is expected that agency plans will provide for such meaningful access consistent with, and without unduly burdening, the fundamental mission of the agency.

Alabama A&M University Research Experiment Station is a recipient of USDA federal funding and therefore is obligated to take reasonable steps to ensure that those with Limited English Proficiency [LEP] have meaningful access to the programs, services and information provided by our programs. The U.S. Census estimates that Foreign-Born Population in Alabama is 162,248 (3.6%) with an estimated LEP share of 45.6%, while the U.S. Born Population in Alabama is 4,414,409 with an LEP share of 0.5%. According to this data, approximately 96,057 individuals or 2% of the Alabama population, both foreign and U.S. born, are considered Limited English Proficient. Persons who, as a result of national origin, do not speak English as their primary language and who have limited ability to speak, read, write, or understand English may be entitled to language assistance under Title VI to receive a particular service, benefit, or encounter.

AAMU Research Experiment Station Guidelines

Limited English proficiency may limit participation in AAMU Research Experiment Station's programs. Reasonable efforts will be made in identifying LEP persons who require language assistance. The following four-factor analysis will serve as the guide for determining which language assistance measures CALNS will undertake to guarantee access to the Research Experiment Station's programs by LEP persons:

- The number or proportion of LEP persons eligible to be served or likely to be encountered by the program or grantee/recipient,
- The frequency with which LEP individuals come into contact with the program,
- The nature and importance of the program, activity, or service provided by the program to people's lives,
- The resources available to the recipient and costs.

Detailed LEP guidance can be found at: <https://nifa.usda.gov/resource/limited-english-proficiency> and https://www.lep.gov/guidance/guidance_Fed_Guidance.html#USDA.

Any reasonable efforts made in the above regard should be documented.



LIMITED ENGLISH PROFICIENCY (LEP)

Alabama A&M University's Research Experiment Station will take reasonable steps to ensure that persons with Limited English Proficiency (LEP) have meaningful access and an equal opportunity to participate in our services, activities, programs and other benefits. The policy of Alabama A&M University is to ensure meaningful communication with persons who experience LEP and their authorized representatives, as well as providing for communication of information contained in vital documents. The College of Agricultural, Life and Natural Sciences (CALNS) will provide all interpreters, translators, and other aids needed to comply with this policy without cost to persons accessing services.

CALNS will provide language assistance with competent bilingual staff, contracts or formal arrangements with organizations providing interpretation or translation services, or technology and telephonic interpretation services.

➤ For Language Interpretive and Document Translation Services

CALNS has contracted with ALAMEX Translation Services, LLC to provide oral and written translation services.

- If not immediately identifiable, use a language identification card to identify the language for interpretation; and call our contracted service provider:



**104 SouthSide Square
Huntsville, AL 35801**

Tel. 256-532-4050

Email: alamex@alamexllc.com

Website: www.alamexllc.com

- If the faculty or staff member does not know the appropriate account number and access code, the person should contact the Dean/1890 Research Director's office to provide the information.

CALNS INTERNAL RESEARCH PROGRAM POLICIES



Guidelines for Physical Space Allocation

Space is a University resource allocated, through Colleges, Departments and select Centers, to individual faculty or groups of faculty for the purposes of supporting and promoting the University/College's mission. Neither the individual, the department, nor the college own the space they occupy and their continued use of University space is dependent on their continuing contribution to the University/College missions. This document is intended to provide general guidelines for space allocation and reallocation within the College of Agricultural, Life and Natural Sciences (CALNS). The primary missions of CALNS, relevant to space allocation, are 1) To educate new generations of researchers, both M.S., and PhD; and 2) To advance agricultural, life and natural sciences knowledge through research.

The following outline represents general guidelines that will assist in the appropriate allocation of physical space in support of research, in the College. These are not intended, nor should they be interpreted, as prescriptive rules for space allocation. The Dean/1890 Research Director must maintain flexibility to respond to the missions and priorities as noted above.

1. Departmental Chairs will make space allocations to individual faculty within a Department. This allocation should include both personal office space and, where appropriate, functional laboratory space consistent with the individual faculty members program and responsibilities. Departments are expected to develop explicit policies, subject to review, to guide their internal allocations. Department Chairs are expected to effectively manage their space allocations.
2. Emeritus faculty members are encouraged to continue their contributions to the College. Appropriate shared office space will be made available for emeritus faculty. If private office space is desired, the department head must submit a written request detailing the circumstances that warrant such space, which must in turn be reviewed and approved by the Dean/1890 Research Director. Part-time teaching contributions will not necessarily constitute adequate justification for private office space.
3. The WTARS Farm Manager in consultation with the Chairs and the WTARS Research Advisory Committee determines allocation of research space at WTARS (including green house, controlled environments, and research plots). The Research Advisory Committee will comprise of 5-8 faculty members selected by the Department Chairs in consultation with the Dean/1890 Research Director's Office. The committee will aid the CALNS/Research Experiment Station as requested to review recommendations from the Farm Manager regarding reallocations of research space. At the request of the Dean/1890 Research Director, the committee may also serve as a mediator of conflicts, which arise regarding space allocation or reallocation between the Farm Manager and individual faculty.
4. Space for new hires is identified before/during the hiring process. New faculty recruitments that require wet/dry laboratory space outside the given unit's space allocation may not proceed without consultation and approval from the Dean/1890 Research Director's Office.

February 14, 2011

Dr. Daniel Wims, Provost/
VP for Academic Affairs
Alabama A&M University
Normal, AL 35762

RE: Evans-Allen and McIntire-Stennis

Dear Dr. Wims:

On Friday, February 11, 2011, a committee was established to develop procedures and guidelines for AAMU. The committee consisted of all department chairs in SAES, the Research Director and the Dean. *Please find below the guidelines and procedures developed by the committee for AAMU's USDA Formula Funds.*

EVANS-ALLEN FORMULA FUNDS

Formula funds will be allotted to faculty after the peer review as seed funds to start-up research programs. The funds will be used as leverage to acquire larger more competitive external grants. The process will proceed thusly.

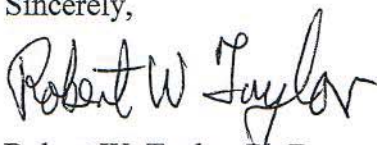
1. When funds are available, there will be a call-for-proposals from the Research Director's Office (RFA).
2. This RFA will outline the Evaluation Criteria. The Peer Review Panel takes into account (i.e., Scientific Merit of the Application for Research; Qualifications of Project Personnel; Adequacy of Facilities and Project Management; Project Relevance; Interdisciplinary/Multidisciplinary Collaboration; Budget Period; Key Personnel Roles). It will also outline Program Priorities for each being considered by NIFA.
3. Faculty will be required to meet with their respective chairs to determine a focus area(s) where the Department aims to build strength. This area(s) should fit into the Department's, the School's and the University's strategic plans as well as NIFA's priority areas.

4. Department Chairs will screen letters of intent (white papers), submitted by the faculty to the Research Director to ensure that proposals to be submitted fall within the Department's focus area as indicated in (3). The number of proposals that each Department can submit will depend on the amount of funds available at the time and will be determined by the Research Director and communicated to the Chairs.
5. Chairs will also be allowed to work together to develop integrated proposals involving faculty across different Departments. Integrated proposals will receive more funds than a non-integrate proposal.
6. Contingency funds will be set aside for Departments to strengthen some program areas. This will be determined by the Chair's Council.
7. Every Department will submit the name of one external reviewer to serve on the Review Panel.
8. The proposals screened by the Departments and submitted to the Research Director's Office will be mailed to the external reviewers. Each reviewer will be required to evaluate and rank the proposals prior to coming to AAMU's campus to serve on the panel.
9. Appropriate funds from the Research Office will be used to pay travel expenses and other panel costs for the external reviewers to spend ½ day in panel deliberations on campus to finalize consensus rankings of the proposals. Every effort will be made to acquire local or regional external reviewers.
10. The external review panel will submit detailed review information and panel summary recommendations outlining scientific merits, strengths and weaknesses, etc., of each proposal. This will be submitted to the Chairs Council. This information will be transmitted in a timely manner to each faculty who submitted a proposal.
11. The recommendations by the panel will be advisory only. The final decisions to fund will rest with the Chair's Council. The Research Director and the Dean will make the final decision.
12. At the termination of an Evan-Allen grant there will be a two (2) year period before a faculty is eligible to submit another proposal.
13. A committee consisting of the Chair's Council will convene to rule on situations where faculty may claim unfair evaluation of their proposals. Formal documentation to support the claim(s) must be submitted by the faculty to the committee.

MCINTIRE-STENNIS FORMULA FUNDS

1. The NRES Department will engage the Forestry faculty in a SWOT analysis and the priority areas determined by this process.
2. Once the priority areas are established for the McIntire-Stennis program, the Dean, Research Director and the Forestry Administrative Technical Representative (A-TR) will send out RFA University wide for proposals to address the forestry priority areas.
3. This RFA will outline the evaluation criteria
4. Proposals submitted to the McIntire-Stennis program in response to the RFA will be mailed to external reviewers (probably 3 persons) who will be forestry experts chosen with the help of the A-TR and forestry colleagues. Each reviewer will be required to evaluate and rank the proposals prior to travel to AAMU campus to serve on the panel.
5. McIntire-Stennis funds from the Research Office will be used to pay travel expenses and other panel costs for the external reviewers to spend ½ day in panel deliberations on campus to finalize consensus rankings of the proposals. Every effort will be made to acquire local or regional external reviewers.
6. The external review panel will submit detailed review information and panel summary recommendations outlining scientific merits, strengths and weaknesses, etc., of each proposal. This will be submitted to the Research Director, Dean and A-TR. This information will be transmitted in a timely manner to each faculty who submitted a proposal.
7. The recommendations by the panel will be advisory only. The final decisions to fund will rest with the Research Director, Dean and the A-TR.
8. A committee consisting of the Chair's Council will convene to rule on situations where faculty may claim unfair evaluation of their proposals. Formal documentation to support the claim(s) must be submitted by the faculty to the committee.

Sincerely,



Robert W. Taylor, Ph.D.
Dean of SAES

Enclosure

Cc: Dr. Zachary Senwo, SAES Research Director



Start-Up Funding

Startup funding is allocated to CALNS departments based on department size, past funding and past history with adjustments. Startup packages, which are supported by the Departments, are routinely given to new faculty. The packages consist of either a 3-year Evans-Allen or McIntire-Stennis project. New faculty send proposals for startup packages to the Dean/1890 Research Director's Office for review and funding. A peer committee selected by the Dean/1890 Research Director reviews the proposal and make recommendations for funding based on:

- Stakeholder Relevance;
- Probability for Continued Extramural Funding;
- Potential for Long-Term Collaboration;
- Relevance to USDA-NIFA Strategic National Goals;
- Potential for Impact at State or Regional Levels; and
- Excellent Science.

Projects Must:

1. Apply the "Logic Model" prior to submission
2. Be submitted and approved through departmental channels
3. Be funded based upon faculty salary needs, basic supplies required, allowed travel (1 national and 1 regional meeting), graduate student support, bi-weekly undergraduate student needs, and other basic support.

Note: Maintenance of equipment covered by Research Office



Seed Grant Policy

PURPOSE: To provide short-term funding to cover start-up research, summer research employment opportunities, and bridge funding for research scientists between termination of previous projects and budget establishment for future or new research projects.

GUIDELINES:

A proposed research must adhere to/or address the following:

- A. Strategic focus of the Department and/or College;
- B. One of the State-planned goals as listed in the CALNS/USDA's Plan of Work; or
- C. Address a need in USDA's Strategic Goals and Objectives (see Agency's website <https://www.usda.gov/sites/default/files/documents/usda-strategic-plan-2018-2022.pdf>); and
- D. Satisfy stakeholder request and be submitted with documentation of stakeholder input.

NOTATION:

1. Normally not more than two (2) seed grants will be provided to the same scientist within a 10-year period.
2. Scientists who are provided seed grants may be asked to write proposals for extramural funding; submit journal publications, and improve scientific skills.
3. Focus should be specifically on graduate student research activities or other activities/conditions/duties as appropriately assigned.
4. Funding approval depends upon availability of funds.

PROCEDURE:

Adhere to the proposal submission guidelines and format.



EVANS-ALLEN GRANT PROGRAM

Sample – Request for Application (RFA)

The Office of the Dean/1890 Research Director for College of Agricultural, Life and Natural Sciences (CALNS) is requesting interdisciplinary/multidisciplinary proposals in the below listed Agriculture and Food Research Initiative (AFRI) areas. The funding for projects is under provisions of Section 1445 of Public Law 95 – 113, Food and Agriculture Act of 1977 as amended (7 U.S.C. 3222) for the conducting of food and agricultural research by the 1890 Land-Grant Colleges and Tuskegee University. The funding level, subject to availability of funds, is up to **\$100K** per year for 3 years. The final amount will be determined based on outcome (publications, presentations, student support, and external funds requested/garnered) from previous award(s). Each application will be screened to ensure that it meets NIFA's administrative requirements. Applications that do not fall within the guidelines will be eliminated. Proposals must have provisions for the training of at least one undergraduate and one graduate student. Proposals are due (electronically – calnsresearch@aamu.edu) in the Office of the Dean/1890 Research Director on or before May 31, 2021 at 5 p.m. (CST). Current PIs or Co-PIs on any ongoing Evans-Allen funded projects are not eligible. Applications from previous recipients of Evans-Allen funds will not be accepted or considered until two years following the end-date of funding on current grant. **Further, individuals who have received Evans-Allen funds for two or more cycles without soliciting or receiving external grant(s) will not be considered for funding.** Recipients of Evans-Allen funds are expected to complete their objectives within the time frame established in the proposal, as cost extensions will not be given priority. No-cost extensions will be given full consideration.

A. Evaluation Criteria

Projects shall be designed, among other things, to accomplish one or more of the stated purposes of U.S. agriculture, subject to the varying conditions and needs of the state. Therefore, in carrying out its review, the peer review panel will consider the following factors.

a. Scientific Merit of the Application for Research

- 1) Novelty, innovation, uniqueness, and originality;
- 2) Where model systems are used, ability to transfer knowledge gained from these systems to organisms of importance to U.S. agriculture;
- 3) Conceptual adequacy of the research and suitability of the hypothesis, as applicable;
- 4) Clarity and delineation of objectives;
- 5) Well-described undertaking, suitability, and feasibility of methodology.

b. Qualifications of Project Personnel, Adequacy of Facilities, and Project Management

- 1) Qualifications of investigators to conduct the proposed project, including performance record and potential for future accomplishments and grantmanships;
- 2) Demonstrated awareness of previous and alternative approaches to the problem identified in the application;
- 3) Institutional experience and competence in subject area;
- 4) Planning and administration of the proposed project, including: time allocated for systematic attainment of objectives; and planned administration of the proposed project and its

maintenance, partnerships, collaborative efforts, and the planned dissemination of information over the duration of the project.

c. Project Relevance

- 1) Documentation of how the research is directed towards specific NIFA program priority area(s), which are designed to yield improvements in and sustainability of U.S. agriculture, the environment, human health and well-being, and rural communities.

d. Interdisciplinary/Multidisciplinary Collaboration

e. Budget Periods: Applications must contain a **detailed** budget for each budget period (not to exceed \$100K per year for 3-years) for the duration of the proposed project. Annual and cumulative budgets are required. Please, use the University prescribed form. You are also required to provide a budget justification.

Key Personnel Roles – 2-Page Limit. Clearly describe the roles and responsibilities of the PD, Co-PD(s), collaborator(s), and other key personnel. Biographical sketches for key personnel should be attached.

Program Area Priorities

Applications **must** be aligned with at least one of the following five NIFA priority challenge areas:

1. **Global Food Security and Hunger:** NIFA supports new science to boost U.S. agricultural production capacity to meet the growing food demand and foster innovation in fighting hunger by addressing food security for vulnerable populations.

Knowledge Areas

Appraisal of Soil Resources
 Soil, Plant, Water, Nutrient Relationships
 Conservation and Efficient Use of Water
 Management and Sustainability of Forest Resources
 Agroforestry
 Weather and Climate
 Plant Genome, Genetics and Genetic Mechanisms
 Plant Genetic Resources
 Plant Biological Efficiency and Abiotic Stresses Affecting Plants
 Plant Management Systems
 Basic Plant Biology
 Insects, Mites and Other Arthropods Affecting Plants
 Plants and Nematodes Affecting Plants
 Weeds Affecting Plants
 Integrated Pest Management Systems
 Nutrient Utilization in Animals
 Animal Diseases
 Engineering Systems and Equipment
 New and Improved Food Products
 Economics of Agricultural Production and Farm Management

2. **Climate Change:** NIFA-funded projects generate knowledge to develop an agriculture system that maintains high productivity in the face of climate changes. This will help producers plan for and

make decisions to adapt to changing environments, sustain economic vitality, and take advantage of emerging economic opportunities offered by climate mitigation technologies.

Knowledge Areas

Soil, Plant, Water, Nutrient Relationships
 Conservation and Efficient Use of Water
 Watershed Protection and Management
 Management and Sustainability of Forest Resources
 Agroforestry
 Alternative Uses of Land
 Weather and Climate
 Pollution Prevention and Mitigation
 Aquatic and Terrestrial Wildlife
 Plant Genome, Genetics and Genetic Mechanisms
 Plant Biological Efficiency and Abiotic Stresses Affecting Plants
 Animal Genome
 Waste Disposal, Recycling and Reuse
 Domestic Policy Analysis
 Communication, Education and Information Delivery

- 3. Sustainable Bioenergy:** NIFA’s contribution to the President’s goal of energy independence with a portfolio of grant programs to develop biomass, design optimum forestry and crops for bioenergy production, and produce value-added bio-based industrial products.

Knowledge Areas

Soil, Plant, Water, Nutrient Relations
 Agroforestry
 Plant Genome, Genetics, and Genetic Mechanisms
 Plant Genetic Resources
 Plant Biological Efficiency and Abiotic Stresses Affecting Plants
 Plant Management Systems
 Insects, Mites, and Other Arthropods Affecting Plants
 Pathogens and Nematodes Affecting Plants
 Engineering Systems and Equipment
 Drainage and Irrigation Systems and Facilities
 Economics of Agricultural Production and Farm Management

- 4. Childhood Obesity Prevention:** NIFA-supported programs ensure that nutritious foods are affordable and available and provide guidance so that individuals and families are able to make informed science-based decisions about health and well-being.

Knowledge Areas

Nutrient Composition of Food
 Requirements and Function of Nutrients and Other Food Components
 Nutrition Education and Behavior
 Ensure Food Products Free of Harmful Chemicals, Including Residues from Agricultural and Other Sources

Healthy Lifestyle
 Human Development and Family Well-Being
 Community Institutions, Health, and Social Services
 Youth Development
 Communication, Education, and Information Delivery

5. **Food Safety:** NIFA's food safety programs work to reduce the incidence of food-borne illness and provide a safer supply by addressing the causes of microbial contamination and antimicrobial resistance, educating consumer and food safety professionals, and developing food processing technologies.

Knowledge Areas

Soil, Plant, Water, Nutrient Relationships
 Agroforestry
 Plant Genome, Genetics, and Genetic Mechanisms
 Plant Genetic Resources
 Plant Biological Efficiency and Abiotic Stresses Affecting Plants
 Plant Management Systems
 Insects, Mites and Other Arthropods Affecting Plants
 Pathogens and Nematodes Affecting Plants
 Engineering Systems and Equipment
 Integrated Pest Management Systems
 Drainage and Irrigation Systems and Facilities
 Economics of Agricultural Production and Farm Management
 Market Economics
 Natural Resource and Environmental Economics
 Consumer Economics

Each priority area has its associated knowledge areas. This gives specificity to the priority areas themselves. Proposals linked to priority area(s) should address these associated knowledge areas.

Note: Evans-Allen grants are not designed to provide recipients with salary only but are intended to provide start-up research funds and to build capacity, as a foundation for application/receipt of other external grants in support of research/scholarly efforts. In addition, becoming an Evans-Allen grant recipient is dependent upon the recommendation of the CALNS grant screening committee and the USDA-NIFA subject matter specialist.



Distribution and Use of McIntire Stennis Funds

The College of Agricultural, Life and Natural Sciences (CALNS) is fortunate to be a recipient of Federal McIntire Stennis and Alabama State matching funds that are used in support of forestry research. CALNS houses an accredited forestry program (Center for Excellence in Forestry, Ecology and Wildlife Management), the only such accredited program in a HBCU. We work in tandem with other programs such as those housed at Tuskegee and Florida A&M Universities.

The McIntire Stennis Federal Funds, which are appropriated to all two State land-grant universities (Auburn and Alabama A&M University) and Tuskegee University, are shared based on an acceptable formula. These funds are matched on a one-to-one dollar basis by the state of Alabama. These funds are overseen and centrally managed by the 1890 Research Director who is also the Authorized Representative (AR). All faculty members in the CALNS forestry program are on split appointments (research/teaching) and each has a long-term research project that is approved by the USDA-NIFA. Currently, there are seven faculty members in the program. Considering the current arrangement of split appointments and approved long-term (minimum, five years) research projects, there is no need for annual RFAs. Each faculty serves as a PI on their approved project. Supporting staff and students associated with the forestry program are also supported from these funds.



Proposal Submission Guidelines for Seed Grants

GUIDELINES:

- I. Request for seed grant funding must be submitted no later than two (2) months prior to the need (i.e., summer session, etc.).
- II. Scientists should meet with Department Chair or appropriate Unit Coordinator within the department or area of specialization to determine proposal topic and research goals. Be sure that proposed research adheres to:
 - a. Strategic focus of Department;
 - b. Satisfy the Stakeholder input requirement; and
 - c. Budget request can be submitted but may be adjusted based upon availability of funds, duration of seed grant and related matters.
- III. The proposal should follow the format as suggested in the Research Proposal Guidelines and Format (see example in Appendix).
- IV. Once written the proposal should be reviewed by 2 to 3 colleagues within the Department and/or area of specialization of scientist submitting proposal (the scientist is encouraged to have at least one outside reviewer).
- V. If approved by the Department Head, reviewers and the 1890 Research Director, the proposal will be forwarded to USDA-NIFA for review and final disposition.
- VI. If approved by USDA-NIFA, the scientist will be informed by the 1890 Research Director, and a budget submission will be forwarded by Research Office to Business and Finance at the University level. Once the budget account number is established, it will be provided to the scientist.



A Research Proposal Format

TITLE OF PROPOSAL
(Maximum 100 Characters)

Submitted to

United States Department of Agriculture (USDA)
National Institute of Food and Agriculture (NIFA)
(or Name of the Agency)

By

Department Name
College of Agricultural, Life and Natural Sciences
Alabama Agricultural & Mechanical University Normal, AL 35762

Proposal Date:

Signatures:

Project Leader (Do not include titles. Such as Dr., or Ph.D.)

Name, Chair/Dept. Head

1890 Research Director



Proposal Outline

- I. Project Title:
- II. Project Number (To be assigned by Research Office)
- III. Project Duration: _____ through _____
M/D/Y M/D/Y
- IV. Project Personnel:
- V. Abstract
- VI. Objectives
- VII. Narrative of Proposed Research
 1. Significance of the Problem
 - (1) Impact
 - (A) Identification of the Problem or Opportunity
 - (B) Rationale
 - (C) Expected Outcomes
 - (D) Literature Review
 2. Experimental Plan
 3. Current Research by the PI/Co-PI (If Any)
 4. Past and/or Present Related Research (by PI/Co-PI, Laboratory)
 5. Related Publications/Presentations
 6. Literature Cited

Page(s) Numbered Bottom Center

Appendix (If applicable)

Budget Requested (Note: Pages not numbered nor listed in Table of Contents) Budget

Narrative (See Note above)



Guidelines for Publication of Research Data

Guidelines

The College of Agricultural, Life and Natural Sciences Publication System for research articles, bulletins, reports, etc. is as follows:

1. First, the publication will be reviewed by 2 or 3 colleagues within the department or area of specialization of the scientist(s) submitting the publication. (Encourage at least one outside review.)
2. Following this review process, the paper must be approved for publication by the department head in close consultation with the scientist(s) and reviewer(s).
3. If approved by the reviewers and department head, the publication will be forwarded to the Technical Editor and the Experiment Station Publication Committee at the School level for review and approval. The Research Director chairs this committee.
4. If approved by the Publication Committee, the Research Director and/or Dean of the College of Agricultural, Life and Natural Sciences will render final approval of the publication.
5. If approved for publication by all the above, the publication will receive a station number and is now ready to be submitted for publication.

Please feel free to contact the Research Director at extension 5781, JID Room 300, if there are questions concerning the above guidelines.



Publication Approval Form

(Copies for Research Director, Editor's Office and Author)

Title: _____

Author(s): _____

Proposed place of publication: _____

(Please indicate whether refereed or non-refereed publication)

Local AAMU

Journal Paper

Project No. _____

Agency _____

No. _____

Publication costs:

Since many journals are now charging a per page printing cost in addition to a reprint charge, it is important that the author check his/her paper carefully to eliminate redundancy and prune out nonessential words, phrases, and sentences.

If the journal charges a printing cost, please estimate this cost for your paper: _____

Will your research funds cover this cost? Yes ____ No ____.

Price per page for _____

Free pages, if any _____ overrun _____ Cost for Illustrations _____

Estimated number of printed pages of article _____ Reprint: No. desired ____ Estimated Cost _____

The author should be familiar with the style of the journal to which he/she is submitting his/her paper and follow its style on bibliographical citations, abbreviations, and form of setting up the manuscript.

Approvals:

Department Approval: _____ Date _____

Editorial Approval: _____ Date _____

Research Director Approval: _____ Date _____

Papers should not be submitted to journal by authors until approval has been granted.

The following statement should be listed at the end of all refereed publications:

Department of _____, Alabama A&M University, Normal, AL 35762.

Contributed by the Agricultural Experiment Station, Alabama A&M University,

Journal No. J2019 000 . Research supported by (*List grant number and agency*)



Research Support Staff Distribution

CALNS research support staff include Graduate Research Assistants, Laboratory Technicians, Post-Doctoral researchers and administrative staff who make a significant contribution to CALNS research programs. For graduate research assistants, faculty directly recruit and determine which graduate students are admitted into their departments. Generally, students express interest in a particular area/concentration when they apply to the graduate program, and they are assigned to a particular faculty member. If the faculty member does not have space in the lab, they are asked to go to the next person based on their secondary interest. Laboratory technicians and post-Doctoral staff are hired by Principal Investigators of funded projects or program directors, and are recruited using the established University hiring process.

CALNS Research Support Distribution Guidelines

CALNS Graduate Research Assistantships

The Office of the Dean/1890 Research Director provides a block of graduate assistantships supported by Capacity Funds (Evans-Allen and McIntire-Stennis). The assistantships will be distributed to CALNS Departments based on the size of the programs. At the Department level, the Chairs will put a plan in place to distribute the allocated assistantships to research faculty based on research space and needs.

CALNS Research Administrative Staff

Administrative support staff are not distributed to individual faculty, but rather to Departments based on the size of the programs. Typically, small programs will have one administrative support staff while bigger programs might have one administrative staff designated for academic/administrative programs and one or more who assist faculty with research requisitions, travel documents and other research related paperwork. Administrative staff work on documents and requests on a first-come first served basis, and depending on the urgency of the request from the faculty.



Graduate Assistantship Award Guidelines

GENERAL POLICIES

Graduate Research Assistants (GRAs) are, first and foremost, graduate students pursuing an education. The opportunity to work closely with faculty members and undergraduate students in teaching, research, or administrative environments is an integral part of that education.

Assistantships provide graduate students with the financial resources necessary to pursue their degrees. This financial support—stipend—is part of the University's commitment to the success of our graduate students. The College of Agricultural, Life and Natural Sciences (CALNS) is committed to ensuring that graduate assistant assignments are productive, enhance student qualifications, meet funding support and workload goals, and are consistent with the educational objectives of the student and his or her program.

ADMINISTRATION

GRAs are under the direct supervision of the department, program, or unit that offers the appointment. The department determines the GRA's assignment, supervises his or her work, and recommends him or her for reappointment. The department is the primary source of information for the details of the assistantship. Within the department, the GRA's work assignment is determined by the Department Chair or any duly appointed executive committees and assistants to the chair, and/or the faculty member assigned to supervise the GRA's particular research project.

QUALIFICATIONS

A Graduate Assistant must be a registered graduate student in good standing enrolled full-time in a degree program at Alabama A&M University (AAMU) in the College of Agriculture, Life and Natural Sciences (CALNS), and must be making satisfactory progress toward the degree. Appointments are normally given to those students who have shown superior aptitude in their field of study and who appear likely to render a high quality of service to CALNS programs by their research activities in a Department. Non-degree seeking students are not eligible to hold GRAs.

STUDENT STATUS

The appointment is for a regular 20 hours per week assistantship. GRAs must be full-time students. They are full-time students if they are registered for at least 9-Hours in a semester term. Audited courses do not generate units and cannot be used in calculating registration status.

APPOINTMENT, REAPPOINTMENT, DURATION OF APPOINTMENT

Most GRAs are appointed either for a regular academic year (9.5 months) or for 12 months. Some appointments may be for a shorter period. The academic-year appointment begins in mid-August and ends in May. Students may be reappointed one or more times at the discretion of the department in which they serve. To allow a larger number of qualified students to benefit from assistantships, departments may limit the number of years that a graduate student may serve as an assistant in any capacity.

Each department is responsible for determining and communicating its own specific criteria, within the limits of university policy, for assessing student qualification for appointment and

reappointment to a graduate research assistantship. In general, reappointment is dependent upon satisfactory performance and normal progress toward a graduate degree. As with all university faculty and staff positions, appointment and reappointment are contingent upon the availability of funds.

APPLICATION FORM AND LETTERS OF APPOINTMENT

Students can apply for GRAs using a general application form provided by the Graduate School. A template can be found on the [Graduate School's Forms webpage](#). It is the responsibility of the department to notify the graduate student in an official letter of the final offer of appointment. These letters provide information on the terms of the assistantship and should be explicit and clear with respect to workload expectations.

PERFORMANCE REVIEWS

Each department is responsible for determining procedures for review and evaluation of GRAs and for informing GRAs of these procedures. The process of evaluation will vary by departments, and may include written assessment of work by an individual faculty member and written student evaluations. The results of reviews and evaluations should be discussed with the GRA concerned.

TERMINATION OR LOSS OF SUPPORT

A GRA's appointment may be terminated before the expiration of its designated term for loss of funding, for cause, for academic delinquency, by written notice, and by voluntary mutual agreement.

1. *Loss of Funding.* A GRA may be terminated on account of a loss, reduction, or reallocation in appropriation, grant, contract, gift, or other funds with which to support the appointment. Subject to the fiscal priorities of the unit, programs will make a good faith effort to find alternative funding for the full term of the appointment for a GRA who is in good standing and making satisfactory progress to degree. The GRA will be give 30 calendar days written notice of termination for loss of funding.
2. *Cause.* An appointment may be terminated immediately for cause. The following are examples of sufficient cause for removal: incompetence, inefficiency, carelessness or neglect of duty, insubordination, repeated or extended absence, and misconduct related to the GRA's suitability or capacity to continue to perform assignments. A GRA may be suspended from responsibilities with pay pending the investigation of cause for termination of the appointment.
3. *Academic Delinquency.* An appointment may be terminated if the GRA is not making satisfactory academic progress to a degree or is otherwise not in good academic standing. The termination shall be in writing and may be immediate or with such notice as the CALNS believes compatible with the GRA's academic situation, not to exceed 30 calendar days.
4. *Written Notice.* An appointment may be terminated by delivery of 30 days written notice to the GRA.
5. *Voluntary Agreement.* With the agreement of the CALNS, an appointment may be terminated by the voluntary written resignation of the GRA.

SPECIAL APPEALS PROCESS

A Graduate Research Assistant whose appointment shall be terminated for the reasons 1, 2, 3, or 4 above, may obtain a review by the Chair of the Department under the Informal Consultation procedure. Thereafter, if desired, the GRA may obtain a special review by the Dean and 1890

Research Director.

1. The GRA shall initiate the formal review by sending a letter to the Dean and 1890 Research Director with copies to the faculty member and the Department Chair. To be considered, the letter must be received by the Dean/1890 Research Director within 15 calendar days from the date the GRA is first informed of the intent to terminate the assistantship. The grounds for appeal in terminations based on *Loss of Funding*, *Academic Delinquency*, and *Written Notice* shall be prejudicial procedural error and/or a violation of substantive due process.
2. The burden of proof in these types of termination shall be upon the GRA. The burden of proof in terminations for *Cause* shall be on the faculty member to demonstrate that cause exists and warrants termination.

Upon receipt of the letter requesting formal review, the Dean/1890 Research Director will:

1. Solicit a written response from the faculty member; and,
2. Offer to meet with the GRA and the faculty member, either individually or together, before reaching a decision. The Dean/1890 Research Director shall consult with the Department Chair and such other persons as the Dean/1890 Research Director believes may be knowledgeable about the matter. The Dean/1890 Research Director shall endeavor to convey a written decision and, where appropriate, the remedy, to the GRA and the faculty member within 10 calendar days of receipt of the letter requesting formal review.
3. The decision of the Dean/1890 Research Director shall be final in all matters pertaining to the review.

RENEWAL AND NON-RENEWAL OF APPOINTMENT

CALNS does not guarantee an appointment as a Graduate Research Assistant will be renewed at the end of its designated term. Although appointments are often renewed, CALNS cannot promise and there can be no expectancy that a GRA will be continued over an extended period.

DUTIES AND TIME COMMITMENTS

The specific duties of Graduate Research Assistants (GRAs) vary according to the nature of the research project in which they participate and the source of the funding. GRAs may occasionally be asked to conduct some work at home or to do their research at times when classes are not officially in session. The duties of GRAs are also performed under the close direction and supervision of a member of the faculty. Prior to the start of the assistantship, the supervising faculty member and the GRA will meet to review and confirm expectations including a summary of the nature of required duties.

Time Commitment: For GRAs, the 20-hour average should include the time spent in library and/or laboratory, and on all other research tasks providing assistance to the assigned project.

Graduate students working on research projects funded by grants are often also working on material directly related to their theses or dissertations. It is not unusual in such cases for grant work and personal work to merge and for the work time to consume far more than the usual 20-hour weekly average.

Graduate GRAs usually follow the project director's instructions regarding work when classes are not in session.

CONFLICT RESOLUTION

A GRA who experiences problems related to workload should address them without delay through the process indicated in "Grievance" Section below.

COMPENSATION AND STIPENDS

Two categories are currently used for the classification of graduate assistantships. These categories, based on whether a student is in the Masters (M.S.) or Doctoral (Ph.D.) program, determine compensation levels. Currently, the annual stipend for a Masters level GRAs is set at \$13,600.00 while the annual stipend for Ph.D. level GRAs is set at \$16,667.00. All GRAs in a particular degree level should be paid the same assistantship stipend.

SCHOLARLY MISCONDUCT

Scholarly misconduct means fabrication, falsification, plagiarism or other misconduct in proposing, performing, reviewing, or reporting research and/or in connection with other scholarly or creative activities.

Other terms such as research fraud, scientific misconduct, or research misconduct are subsumed within the term scholarly misconduct. Scholarly misconduct does not include honest error or honest differences of opinion. A finding of scholarly misconduct requires that there be a significant departure from accepted practices of the scholarly community for maintaining the integrity of the research or scholarly record; the misconduct must be committed intentionally, or knowingly, or in reckless disregard of accepted practices; and the allegation must be proven by a preponderance of relevant evidence.

The full text of the Alabama A&M University's Procedures for Scholarly Misconduct can be found in the [University's Research Compliance manual](#).

SEXUAL HARASSMENT

Sexual harassment by university faculty, staff, and students is prohibited and constitutes violation of campus policy. Sexual harassment may also constitute violations of the criminal and civil laws of the State of Alabama and the United States. For the purpose of campus policy, sexual harassment is defined as follows: 1) unwelcome sexual advances; or 2) unwelcome requests for sexual favors; and 3) other behavior of a sexual nature where:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or participation in a university-sponsored educational program or activity; or
- Submission to or rejection of such conduct by an individual is used as the basis for academic or employment decisions affecting that individual; or
- Such conduct has the purpose or effect of unreasonably interfering with the individual's academic or work performance, or of creating an intimidating, hostile, or offensive educational or working environment.

The full text of the AAMU Sexual Misconduct Policy and Procedures can be found [online](#).

EQUAL OPPORTUNITY STATEMENT

Alabama A&M University is an equal opportunity institution with respect to both education and employment. The university does not discriminate on the basis of race, color, religion, age, national origin, sex, or disability in admission to or access to, or treatment of employment in, its programs and activities, as required by federal law (Title VI, Title IX, Section 504) and state laws and regulations. Inquiries regarding compliance with Title VI of the Civil Rights Act of 1964, as amended, Title IX of the 1972 Education Amendments, Section 504 of the Rehabilitation Act of 1973, or related legal requirements should be directed to:

Director, Human Resources

Email: human.resources@aamu.edu

Phone: 256-372-5835

Fax: 256-372-5881

Inquiries concerning Title VI and Language access may be directed to:

CALNS Dean/1890 Research Director

Email: research.compliance@aamu.edu

Phone: 256-372-4166

Fax: 256-372-8645

Inquiries concerning the application of Section 504 and Part 34 of C.F.R. to AAMU may be directed to:

Anoyia L. Williams

Director, Disability Support Services

Email: sanoyia.williams@aamu.edu

Tel.: 256-372-4263

GRIEVANCE PROCEDURES

Regular and clear communication between Graduate Assistants and their advisors and supervisors is essential to maintaining an effective educational environment. GRAs who believe their workload is not in conformity with these *Policies for Graduate Assistantships* may seek a review. In all instances noted above, the GRA should attempt to resolve these matters locally, collegially, and informally. If the difficulty has not been resolved to the GRA's satisfaction through informal means, then he or she may elect to file a formal grievance.

INFORMAL CONSULTATION

The Graduate Assistant should first attempt to resolve the difficulty by discussing the situation with his or her faculty advisor/supervisor as expeditiously as possible.

1. The GRA should provide the reasons for complaint and a suggested resolution/remedy.

If a satisfactory resolution is not reached, the GRA should next discuss the situation with the Chair of the Department.

2. Either before or after such discussions, the GRA may wish to seek advice from another academic advisor or the Coordinator of the GRA's program.

FORMAL GRIEVANCE

Most problems related to assistantships are resolved through informal consultation. If a problem pertaining to any other issue has not been solved informally to the GRA's satisfaction, he or she may initiate a formal grievance. The formal procedures outlined below are intended to provide a mechanism through which grievances related to assistantships can be formally made and decided.

THE GRIEVANCE PROCEDURE

The process of formal consideration offers the GRA a review by the CALNS Dean/1890 Research Director or by a panel appointed to make a recommendation to the Dean/1890 Research Director.

The steps are as follows:

If a satisfactory resolution has not been achieved following informal consideration, the GRA may initiate a formal grievance by sending a letter to the CALNS Dean/1890 Research Director. To be considered, it must be received by the CALNS Dean/1890 Research Director within 30 calendar days from the action involved or from the GRA having reasonable knowledge of it. Under exceptional circumstances, that deadline may be extended at the discretion of the CALNS Dean/1890 Research Director.

1. The letter must be signed and:
 - a. Contain a clear description of the facts giving rise to the grievance; and,
 - b. Identify the provision(s) of these *Policies for Graduate Assistantships* which have been violated; and,
 - c. Set forth the desired remedy; and,
 - d. Be copied to the faculty member and the Chair of the Department.
 - e. Elect to have the CALNS Dean/1890 Research Director decide the grievance either:
 - i. In the manner described in Paragraph 2.b., below; or,
 - ii. Following receipt of a recommendation from a three-person panel appointed by the CALNS Dean/1890 Research Director to consider the matter.
2. Upon receipt of a letter of formal grievance, the CALNS Dean/1890 Research Director will:
 - a. Solicit a written response from the Department Chair.
 - b. Offer to meet with the GRA and the faculty member, either individually or together, before reaching a decision. The Dean shall consult with other persons, as the CALNS Dean/1890 Research Director believes may be knowledgeable about the policies and practices involved. The CALNS Dean/1890 Research Director shall endeavor to convey a written decision and, where appropriate, the remedy, to the GRA and the faculty member within 15 calendar days of receipt of the letter of grievance.
 - c. If the GRA elects to have a panel, the CALNS Dean/1890 Research Director will appoint two faculty (one of whom shall chair the panel) and one graduate student, each familiar with the GRA's discipline but not from the GRA's program or department, to review the matter and make a recommendation. The CALNS Dean/1890 Research Director will provide the panel with the letter of formal grievance and the written response of the Department Chair. The panel shall offer to meet with the GRA and the faculty member and proceed in the manner described in Paragraph 2.b, above.

The Panel shall provide the CALNS Dean/1890 Research Director a written report containing a statement of the issues, the panel's findings of fact, the controlling policy provisions, the panel's conclusions regarding the merits of the grievance, and a recommended disposition of the grievance, including any suggested remedy.

The CALNS Dean/1890 Research Director shall decide the grievance and fashion any necessary remedy, giving substantial weight to the findings, conclusions, and recommendations of the panel.

The decision of the CALNS Dean/1890 Research Director regarding the merits of a grievance and, where appropriate, the remedy, shall be final.



Graduate Research Assistant (GRA) Performance Evaluation

GRA: _____

Semester: _____ Year: _____ Supervisor: _____

Department: _____ Degree Sought: _____ # of Years in Program: _____

Total Credits Earned Towards Degree: _____ Current GPA: _____

Thesis/Dissertation Topic: _____

GRA has identified a research interest	Yes	No
GRA has submitted program of study	Yes	No
GRA has completed the required CITI training modules	Yes	No
GRA has completed the thesis/dissertation proposal	Yes	No
GRA has presented proposal to guidance committee	Yes	No
GRA has removed all required deficiencies	Yes	No
GRA has completed 20 hours of course work	Yes	No
GRA has completed the oral examination	Yes	No
GRA puts significant amount of time into his/her research work	Yes	No
GRA works off campus or has another job	Yes	No
GRA presents data at conferences or professional society meeting	Yes	No
GRA attends departmental seminar	Yes	No
GRA performs other duties assigned by supervisor	Yes	No
GRA shows professional attitude	Yes	No
GRA demonstrate ethical behavior in research	Yes	No
GRA is respectful of authority	Yes	No

Overall, how would you rate the quality of the GRA's performance this evaluation period? Justify your rating below.

	Poor		Fair		Good		Very Good		Excellent	
	1	2	3	4	5	6	7	8	9	10
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Justification:

Would you hire this student as a GRA again?

Yes No

Graduate school is an intellectual apprenticeship during which students hone their craft and develop their skills under the supportive guidance of senior scholars. Please use this opportunity to provide the student with formative feedback on their scholarly development. You may consider any of the following skills and more: *project management; time management; argument creation; literature reviewing; data gathering; dataset management; data analyses; written communication; oral communication; etc.*

Use the following operational definitions for the rubric ratings below:

- **novice:** requires much help/guidance; struggles to produce acceptable work; makes regular errors
- **developing:** requires modest help/guidance; regularly produces acceptable work with occasional errors
- **competent:** requires minimal help/guidance; nearly always produces acceptable work with no errors
- **masterful:** independently produces high-quality work in a consistent manner

A. Which, if any, of the student's skills would you rate as "novice" or "developing?"

B. Which, if any, of the student's skills would you rate as "competent?"

C. Which, if any, of the student's skills would you rate as "masterful?"

Research Supervisor's Signature

Date

GRA's Signature*

Date

*Although my signature does not necessarily indicate concurrence, I have read this evaluation and discussed it with my research supervisor.

Department Chair's Signature

Date

Dean/1890 Research Director's Signature

Date



Advisory Board and Program Committee Structures

- The External Advisory Committee advises the 1890 Research Director and his/her staff on statewide programmatic issues.
- The Program Advisory Committees advise each of the CALNS Departments within the scope of their specific program area (Food and Animal Sciences, Biological and Environmental Sciences, Community and Regional Planning, and Family and Consumer Sciences).

CALNS External Advisory Board

The Board should include a wide variety of members who represent the diversity of:

- geography
- age, including youth
- race and ethnicity
- gender
- socio-economic status
- program area (food and animal sciences, biological and environmental sciences, community and regional planning, and family and consumer sciences)
- political affiliation and perspective
- membership characteristics identified locally (i.e., representation from specific partners)

By federal law, new advisory committee members should be selected on a nondiscriminatory basis without regard to “race, color, religion, sex, age, national origin, sexual orientation, gender identity or expression, disability, or veteran status.”

Additional Recommendations from the National Institute of Food and Agriculture (NIFA) for Advisory Committees, Boards and other Relevant Committees

- Internal and external advisory boards and committees are diverse, and/or are representative of the population of the county in relation to geographic areas being served.
- Plans to solicit diverse nominations for committees and advisory boards are established.
- Selection and appointment processes are used to staff local committees and advisory boards.
- Determine whether any qualifying mandatory or discretionary membership criteria are imposed and their impact on diversity.
- Identify each existing committee/board by race, ethnicity and gender.
- Determine the percentage of county population by location and race, ethnicity and gender in the identified geographic areas.
- Determine needed changes in the organizational structure and planning procedures to assure representation of minorities on the committees and boards.
- Provide copy of policy and procedures to solicit diverse nominations for committees and advisory boards.
- Provide a copy of the selection and appointment process used to staff committees/boards.
- Copy of any procedures that affect planning and advisory committee membership.
- Provide list of advisory committees/boards by race, ethnicity and gender.

Membership

- The committee should consist of 5 to 10 members who can provide energetic and progressive assistance to the program.
- The committee should make provisions to replace its members on a rotational plan.
- Members may serve no more than two consecutive terms or a total of six consecutive years.
- Approximately one-fourth to one-third of the membership should change annually.
- Potential members to consider are representatives of agricultural producers, agribusiness, social service agencies, government agencies, limited-resource audiences, youth organizations, civic organizations, faith organizations, businesses, financial institutions, health organizations, foundations, educational institutions, media, public officials including county commissioners or their representatives, and other important groups in the community. Potential members should have expertise and abilities that will contribute to the function of the committee and have personal connection to strategic segments of the program stakeholders.
- The committee should include a chair, vice-chair, and secretary elected by the members for a term not to exceed two years each.

Meetings

The program advisory committee will meet a minimum of two times per year, but preferably four times per year.

- One meeting should be held before developing the program plan of work that is based on current stakeholder needs.
- One meeting should be held before developing the program budget request that ultimately supports sufficient staffing, adequate facilities, communication infrastructure, office equipment, and other office or program development needs.
- Additional meetings may be called when necessary by the Department Chair and the chair of the program advisory committee.

CALNS External Program/Department Committees

External Program/Department Committees assist Department Chairs in identifying the needs and opportunities of present and potential clientele. The identified needs and opportunities serve as a basis to develop research and educational programs. The program committees also help prioritize programming opportunities and assist Chairs in establishing program direction.

It is highly recommended that membership on a CALNS program committee:

- Represents and reflects both present and potential areas of program emphasis.
- Gives special attention to representation of the specific program area in the broadest sense to reflect the diversity of the community.
- Makes provisions for replacing its members. Members shall serve no more than two consecutive terms or three consecutive years. Approximately one-fourth to one-third of the membership should change annually.
- Consists of 5 to 10 members.
- Recommends individuals who can provide the most energetic and progressive assistance to the specific program.
- Represents the various interests and needs within the specific program area. This includes a proper balance in age, income levels, men and women, geographic distribution, under-served populations, and minorities.
- Includes chair, vice-chair and secretary elected by the members for a term not to exceed 2-years.

CALNS External Program/Department Advisory Committee Member Position Description

Members of program advisory committees must be willing to commit time to attend meetings and assist with committee projects, share their expertise, provide their opinions, and work for the betterment of the program area and all of CALNS. Skills needed by effective advisory committee members include: listening, speaking, giving feedback, having trust, sharing openly, influencing others, understanding productivity, and problem solving.

- Participate actively in all program committee meetings
- Understand the bylaws governing committee operation
- Accept leadership roles when appropriate
- Support all program committee decisions
- Be fully informed of the functions and other requirements of a program committee member before their appointment
- Help program staff address the needs in more specialized subject matter such as food and animal sciences, biological and environmental sciences, community and regional planning, and family and consumer sciences, etc.
- Help program staff conduct needs assessments, set goals and objectives, plan appropriate tasks to effectively implement programs and evaluate programs developed to meet the needs and problems of clientele
- Support programs by communicating with appropriate clientele and the public
- Help with marketing Departmental programming
- Provide feedback on staff performance when requested
- Recommend priorities to the CALNS advisory committee.

CALNS Internal Research Advisory Committee

The Research Advisory Committee works with Strategic Research Area leaders to identify research opportunities, to develop plans for research proposals for contracts and grants, and to measure and monitor progress and performance of the strategic research areas. The committee advises on research matters such as reviewing the process for distribution of formula funds, advising on funding issues for new principal investigators, and advising on strategies to enhance the visibility, stature, and strength of the College.

Membership

- The committee should consist of 5 to 10 research faculty members who can provide energetic and progressive assistance to the program.
- Potential members to consider are faculty representatives from all CALNS Programs/Departments.
- There should be at least one member from each program involved in research in the College.
- The committee should make provisions to replace its members on a rotational plan.
- Members may serve no more than two consecutive terms or a total of six consecutive years.
- Approximately one-fourth to one-third of the membership should change annually.
- The committee should include a chair, vice-chair, and secretary elected by the members for a term not to exceed two years each.

WTARS Research Committee

The committee advises on research matters at the Winfred Thomas Agricultural Research Station (WTARS), such as developing policies for requesting space for green house, controlled environments, research plots, and advising on strategies to enhance the visibility, stature, and

strength of WTARS.

Membership

- The committee should consist of 5 to 10 research faculty members who can provide energetic and progressive assistance to WTAR.
- Potential members to consider are faculty representatives from all CALNS Programs/Departments.
- There should be at least one member from each program involved in research at the experiment station.
- The committee should make provisions to replace its members on a rotational plan.
- Members may serve no more than two consecutive terms or a total of six consecutive years.
- Approximately one-fourth to one-third of the membership should change annually.
- The committee should include a chair, vice-chair, and secretary elected by the members for a term not to exceed two years each.

Ad hoc, Issues, and Specialized Committees

CALNS programs have a variety of individual needs that can greatly benefit from assistance by ad hoc or special issues committees. Ad hoc committees should be initiated to work on such tasks as volunteer and staff recognition, special programs, or member and officer nominations.

Scholarship Committees

The Scholarship Committees oversee the process for awarding academic and performance scholarships at the college, departmental, or program levels. The committees develop and implements guidelines for the awarding of scholarships, conduct evaluations to facilitate the development of guidelines, review and evaluate academic and performance scholarships that are administered by the College and or department and modify them as needed, select the recipients of certain College-level academic scholarships, and hear appeals concerning the withdrawal of scholarships.

Membership: The committee consists of at least one-faculty members from each Department, one student and a staff member from the college.

GENERAL AAMU CIVIL RIGHTS POLICIES



TITLE VI STATEMENT OF POLICY

As a recipient of Federal funding, Alabama A&M University Research Experiment Station housed under the College of Agricultural, Life and Natural Sciences (CALNS) is required to comply with Title VI of the Civil Rights Act of 1964 as amended. Title VI of the Civil Rights Act of 1964 requires that no person in the United States, on the grounds of race, color, or national origin be excluded from, be denied the benefits of, or be subjected to discrimination, under any program or activity receiving federal financial assistance. Presidential Executive Order 12898 addresses environmental justice in minority and low-income populations. Presidential Executive Order 131166 addresses services to those individuals with Limited English Proficiency (LEP). The rights of women, the elderly, and disabled are protected under related statutes. These Presidential Executive Orders and the related statutes fall under the umbrella of Title VI.

CALNS is committed to enforcing the provisions of Title VI and protecting the rights and opportunities of all persons associated with CALNS or affected by its programs. Alabama A&M University's commitment includes vigorously enforcing all applicable laws and regulations that affect CALNS and those organizations, both public and private which participate and benefit through our programs.

CALNS will take positive and realistic affirmative steps to ensure that all persons and/or groups wishing to participate in its programs are given an equal and equitable chance to participate. CALNS sub-recipients and contractors are required to prevent discrimination and ensure nondiscrimination in all of their programs, activities, and services.

The Director of 1890 Research Programs is responsible for providing leadership, direction, and policy to ensure compliance with Title VI of the 1964 Civil Rights Act for the CALNS' research and education programs. Any person(s) or firm(s) who feels that they have been discriminated against is encouraged to report such violations to:

James O. Bukenya, Ph.D., CCEP.
Director, Office of Research Compliance and Civil Rights Coordinator
Alabama A&M University
316K James Dawson Building
Normal, AL 35762

256.372.5729 (o)
256.372.8645 (f)

research.compliance@aamu.edu

COMPLAINT PROCEDURE

This document outlines the Title VI complaint procedures related to providing programs, services, and benefit. However, it does not deny complainant the right to file formal complaints with the USDA-NIFA's Office of Equal Opportunity and Civil Rights, or any other State and Federal Agencies to seek private counsel for complaints alleging discrimination, intimidation or retaliation of any kind that is prohibited by law.

Title VI of the Civil Rights Act of 1964 requires that no person in the United States, on the grounds of race, color, or national origins be excluded from, be denied the benefits of, or be subjected to discrimination, under any program or activity receiving federal financial assistance.

PROCEDURE

1. Any person who believes that they have been subject to discrimination may file a written complaint with the AAMU-CALNS Civil Rights Coordinator. Federal and State law requires complaints be filed within one-hundred eighty (180) calendar days of the last alleged incident.
2. The **complainant may fill out the complaint form online** or request the complaint form from the CIVIL Rights Coordinator's Office. The complainant may also submit a written statement that contains all of the information identified in Section 3 (a) through (g) below.
3. The complaint will include the following information:
 - a. Name, address, and telephone number of the complainant.
 - b. The basis of the complaint; i.e., race, color, national origin, sex, elderly or disabled.
 - c. The date or dates on which the alleged discriminatory event occurred.
 - d. The nature of the incident that led the complainant to feel discrimination was a factor.
 - e. Name, address, and telephone number of persons who may have knowledge of the event.
 - f. Other agencies or courts where complaint may have been filed and a contact name.
 - g. Complainant's signature and date.
 - h. If the complainant is unable to write a complaint/upload, the CALNS staff will assist the complainant. If requested by complainant, CALNS will provide a language or sign interpreter.
 - i. The complaint may be sent or faxed to the following address:
 James O. Bukenya, Ph.D., CCEP.
 Director, Office of Research Compliance and Civil Rights Coordinator
 Alabama A&M University
 316 K James Dawson Building
 Normal, AL 35762

 256.372.5729 (o)
 256.372.8645 (f)
research.compliance@aamu.edu
 - j. A complainant may file a complaint directly with the US Department of Agriculture's National Institute of Food and Agriculture Office of Equal Opportunity and Civil Rights by completing a Form AD-3027, USDA Program Discrimination Complaint Form, which can be obtained online at <https://www.ocio.usda.gov/document/ad-3027>, from any USDA office, by calling (866) 632-9992, or by writing a letter addressed to U.S. Department of Agriculture Office of the Assistant

Secretary for Civil Rights 1400 Independence Avenue, SW Washington, D.C. 20250-9410; or
(2) Fax: (833) 256-1665 or (202) 690-7442; or (3) Email: program.intake@usda.gov.

4. CALNS will begin an investigation within fifteen (15) working days of receipt of a complaint.
5. CALNS will contact the complainant in writing no later than thirty (30) working days after receipt of complaint of additional information, if needed to investigate the complaint. If the complainant fails to provide the requested information in a timely basis, CALNS will administratively close the complaint.
6. CALNS will complete the investigation within ninety (90) days of receipt of the complaint. A written investigation report will be prepared by the investigator. The report shall include a summary description of the incident, findings, and recommendations for disposition.
7. The Director will review the report. A closing letter and exit interview will be provided to the complainant. The respondent will also receive a copy of the closing letter. Each will have five (5) working days from receipt of the report to respond. If either party responds negatively or has additional information to provide, an informal meeting will be arranged by the Director of 1890 Research Programs. If neither party responds, the complaint will be closed.
8. The investigation report with recommendations and correction actions taken will be forwarded to the appropriate University, state or federal agency, the complainant, and respondent.
9. CALNS will advise complainants of their appeal rights to the appropriate federal agency.

PUBLIC COMMENTS

Fill out the [Title VI Program Public Comment Form online](#)

NOTIFYING THE PUBLIC RIGHTS UNDER TITLE VI

- CALNS operates its programs and services without regard to race, color, and national origin in accordance with Title VI of the Civil Rights Act. Any person who believes she or he has been aggrieved by any unlawful discriminatory practice under Title VI may file a complaint with CALNS.
- Notification of policies are posted in our Office, Research Buildings, Residence Halls, Conference Rooms, and distributed via email.
- For more information on CALNS civil rights program, and the procedures to file a complaint visit <https://srfichewb.aamu.edu/Forms/calns-title-vi-complaint-form>, or contact James Bukenya, Civil Rights Coordinator: 256-372-5729, or visit our administrative office at Alabama A&M University College of Agricultural, Life and Natural Sciences (CALNS), Dawson Building (3rd Floor) Room 316K, Normal, Alabama 35762.
- Inquiries or complaints related to Title VI may be sent in writing to Alabama A&M University College of Agricultural, Life and Natural Sciences (CALNS) 316 K Dawson Building, Normal, Alabama 35762.
- A complainant may file a complaint directly with the USDA-NIFA by filing a complaint with the Office of Civil Rights, Attention: U.S. Department of Agriculture Office of the Assistant Secretary for Civil Rights 1400 Independence Avenue, SW Washington, D.C. 20250-9410; or (2) Fax: (833) 256-1665 or (202) 690-7442; or (3) Email: program.intake@usda.gov.
- If information is needed in another language, contact CALNS at 256-372-5729.



PAY TRANSPARENCY POLICY STATEMENT

The contractor will not discharge or in any other manner discriminate against employees or applicants because they have inquired about, discussed, or disclosed their own pay or the pay of another employee or applicant. However, employees who have access to the compensation information of other employees or applicants as a part of their essential job functions cannot disclose the pay of other employees or applicants to individuals who do not otherwise have access to compensation information, unless the disclosure is (a) in response to a formal complaint or charge, (b) in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the employer, or (c) consistent with the contractor’s legal duty to furnish information.



Procedure 6.10: Non-Discrimination and Anti-Harassment Policy

Volume 6: Human Resources

Managing Office: Office of Human Resources

Effective Date: June 5, 2012

I. PURPOSE

Alabama A&M University is committed to providing a workplace and educational environment, programs, and activities free of discrimination and harassment. This policy does not allow curtailment or censorship of constitutionally protected expression. This procedure applies to present and former employees of the University, students, applicants for admission or employment, and participants in University programs or activities (includes customers for services, vendors, contractors, and volunteers).

II. POLICY STATEMENT

The University is committed to a work environment in which all individuals are treated with respect and dignity. Therefore, discrimination or harassment based on age, race, gender, color, religion, national origin, disability, genetic information, sexual orientation, covered veteran status, or any other characteristics protected under state, federal, or local law will not be tolerated. This policy applies to all applicants, employees, students, guests, vendors, and persons doing business with the University.

III. POLICY

These policies specifically prohibit harassment, discrimination and retaliation whether engaged in by fellow employees, by a supervisor or manager or by someone not directly connected to the University. (e.g., an outside vendor or customer). Sexual harassment, which is one type of prohibited harassment, is defined as:

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

- Submission to such conduct is made a term or condition, either explicitly or implicitly, of an individual's employment;
- Submission to or rejection of such conduct by an individual is used as a factor in decisions affecting that individual's employment; or
- Such conduct has the purpose or effect of interfering with an individual's work performance or creates an intimidating, hostile, or offensive working environment.

Sexual harassment may include a range of subtle and not so subtle behaviors and may involve individuals of the same or different gender. Examples of conduct prohibited by this policy include, but are not limited to:

- Unwelcome sexual flirtation, advances, or propositions;
- Verbal comments related to an individual's age, race, gender, color, religion, national origin, disability, or sexual orientation;
- Explicit or degrading verbal comments about another individual or his/her appearance;
- Commentary about an individual's body, sexual prowess or sexual deficiencies;
- Leering, catcalls or touching;
- Insulting or obscene comments or gestures;
- The display of sexually suggestive pictures or objects in any workplace location including transmission or display via computer or cell phone (for example, emails or texts);
- Any sexually offensive or abusive physical conduct;
- The taking of or the refusal to take any personnel action based on an employee's submission to or rejection of sexual overtures; and
- Sexually suggestive cartoons or jokes, whether displayed in the workplace, written, verbally stated, or exchanged via email, text messaging, instant messaging, or any other form of communication.

- The taking of refusing to take any action on behalf of the University based on a student's submission to or rejection of sexual overtures.

Harassment on the basis of race, color, religion, national origin, age, disability, sexual orientation or citizenship status, or any other characteristic protected by law, is also strictly prohibited.

Harassing conduct includes, but is not limited to: epithets, slurs or negative stereotyping; threatening, intimidating, or hostile acts; denigrating jokes and display or circulation in the workplace of written or graphic material that denigrates or shows hostility or aversion toward an individual or group (including through e-mail or text messaging).

The University strongly urges the reporting of all incidents of discrimination, harassment or retaliation, regardless of the offender's identity or position within the institution. Early reporting and intervention have proven to be the most effective method of resolving actual or perceived incidents of harassment or discrimination. Individuals who believe they have experienced conduct that is contrary to the University's policy, or who have concerns about such matters should report their complaints or concerns to their immediate supervisor or the Human Resources Director as soon as possible after the offending conduct occurs so that rapid and constructive action may be taken.

The availability of this complaint procedure does not preclude individuals who believe they are being subjected to harassing conduct from promptly advising the offender that his or her behavior is unwelcome, and requesting that the conduct be discontinued immediately.

Any reported incident will be investigated by the Director of Human Resources or his/her designee promptly, thoroughly and impartially. Complaints and actions taken to resolve complaints will be handled as confidentially as possible, given the University's obligations to investigate and act upon reports of such harassment. Confidentiality will be maintained throughout the investigation of any complaint to the extent possible, while remaining consistent with the goal of conducting a thorough investigation and implementing corrective action, as appropriate. Appropriate actions will be taken by the University to stop and remedy any such conduct, including the possibility of interim measures being taken during a period of investigation.

Retaliation or discrimination of any kind against an employee or student who makes a good faith report of a suspected incident of harassment or discrimination, or who cooperates in an investigation is prohibited. However, if after investigating any complaint of unlawful discrimination, the University determines that an employee or student intentionally provided false information regarding a complaint and/or intentionally provided false

information during the investigation of a complaint, disciplinary action may be taken, up to and including termination in the case of an employee and reporting of such action to the judicial board in the case of a student.

An employee who violates this policy or retaliates against an employee or student in any way will be subject to disciplinary action up to and including termination.

IV. PROCEDURE

A complaint may be filed with the Office of Human Resources (HR) by any present or former employee of the University, student, applicant for admission or employment, or participant in a University program or activity, who believes (s)he has been discriminated against or harassed in violation of this Policy. Any such complaint must be filed within 300 calendar days of the incident. The Complaint Form can be found at:

<http://www.aamu.edu/administrativeoffices/hrservices/Documents/Complaint%20Form.pdf>

Alabama A&M University Statement on Harassment

The University is committed to a work environment in which all individuals are treated with respect and dignity. Therefore, discrimination or harassment based on age, race, gender, color, religion, national origin, disability, genetic information, sexual orientation, covered veteran status, or any other characteristics protected under state, federal, or local law will not be tolerated. This policy applies to all applicants, employees, students, guests, vendors, and persons doing business with the University. These policies specifically prohibit harassment, discrimination and retaliation whether engaged in by fellow employees, by a supervisor or manager or by someone not directly connected to the University. (e.g., an outside vendor or customer).

TITLE IX

Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681) is an all-encompassing federal law that prohibits discrimination based on the gender of students and employees of educational institutions which receive federal financial assistance. Title IX also prohibits sexual harassment, which includes sexual assault and sexual violence.

Sexual Violence

Sexual violence is a form of sexual harassment, prohibited by Title IX, which includes conduct that is criminal in nature. Sexual violence refers to sexual acts perpetrated against a person's will where consent is not obtained or where a person is incapable of giving consent due to his/her use of alcohol or other drugs. Different acts fall into the category of sexual violence, including rape, sexual assault, sexual battery, sexual coercion, unwanted touching, dating violence, and sexually motivated stalking.

Sexual Harassment

Sexual harassment, which is a form of sex-based discrimination, prohibited by Title IX consisting of offensive verbal or physical conduct relating to sex or gender (ranging from sexual violence, to unwelcome sexual advances, to more subtle verbal and non-verbal behavior) that is implicitly or explicitly:

- A term or condition of employment, or status in a course, program or activity; OR
- A factor in employment/educational decisions; OR
- Has the purpose or effect of interfering with work/educational performance; creating an intimidating, hostile or offensive work/learning environment; or interfering with one's ability to participate in or benefit from an institutional program or activity.

Harassment on the basis of race, color, religion, national origin, age, disability, sexual orientation or citizenship status, or any other characteristic protected by law, is also strictly prohibited.

Duty to Report

Employees with a duty to report violations of this policy include faculty, administrators, coaches, staff, graduate assistants, student employees, and volunteers who have supervisory, evaluative, grading, or advisory responsibility over other members of the University community.

Any employee who receives a complaint of sexual misconduct, learns of what may be potential sexual misconduct, or observes conduct that may constitute a violation of the policy is required to report the alleged conduct immediately to the Title IX Coordinator in the Office of Human Resources (HR).

Retaliation Prohibited

Title IX prohibits retaliation for making a good faith complaint about sex-based discrimination, including sexual harassment/violence, or for participating in an investigation of alleged sex-based discrimination. Anyone who believes, or receives a complaint, that prohibited retaliation has or is occurring should immediately contact the Title IX Coordinator.

Alabama A&M University Grievance Process

Student:

If you are a student who believes you have been subjected to (1) sexual discrimination by University faculty or staff; or (2) any other form of gender discrimination under Title IX, you may report such misconduct or file a formal complaint with the Title IX Coordinator for employees in the Office of Human Resources (HR). If you are a student who believes you have been or are the victim of sexual harassment, including sexual assault, sexual violence or other sexual misconduct, by another University student, you may report such conduct or file a complaint under Title IX with the Title IX Coordinator for Students, the Department of Public Safety, and/or Director of Counseling Services. Complaints of student sexual misconduct are addressed by the University Judicial Officer.

Employee:

If you are an employee who believes you have been subjected to sexual discrimination under Title IX, including sexual harassment, or who wishes to file a complaint under Title IX you can do so with the Title IX Coordinator in the Office of Human Resources (HR).

Filing a Criminal Complaint

Victims of sexual assault or misconduct have the right to file criminal complaint by contacting the Alabama A&M University Public Safety Department, P.O. Box 4900, Normal, AL 35762, (256) 372-5555. Victims may file criminal complaint before, during, or after the university's investigation of sexual assault or misconduct.

Confidential Resources

Crisis Services of North Alabama
(256) 716-1000

Alabama A&M University Health and Counseling Services
(256) 372-5601

Title IX Information

WHO IS COVERED BY TITLE IX?

Educational institutions that receive federal financial assistance are covered by Title IX. If only one of the institution's programs or activities receives federal funding, all of the programs within the institution must comply with Title IX regulations. In compliance with Title IX, Alabama A&M University prohibits discrimination in employment as well as in all programs and activities on the basis of sex.

FAILURE TO COMPLY WITH TITLE IX

Failure to comply with Title IX in the most extreme circumstances may include the termination of all or part of an institution's federal funding. This includes grants, subsidies, and other program funds from the federal government. In addition to the loss of federal funds, universities may be sued by those seeking redress for violations of Title IX. It is essential that institutions receiving federal financial assistances operate in a nondiscriminatory manner. To ensure the University's compliance with the law, **adherence to Title IX regulations is everyone's responsibility.**

TITLE IX COORDINATOR

In accordance with Title IX regulations, the University has designated Dr. Jarrett Walton, Director of Human Resources and Affirmative Action, as the University's Title IX Coordinator. He is charged with monitoring compliance with these regulations. Questions regarding Title IX, as well as concerns and complaints of non-compliance, may be directed to:

Dr. Jarrett Walton, MS-HRD

Title IX Coordinator
Office of Human Resources and Affirmative Action
P.O. Box 4900
Normal, AL 35762
Phone: (256) 372-5835
Fax: (256) 372-5881
Email: jarrett.walton@aamu.edu

Title IX Website: <https://www.aamu.edu/about/administrative-offices/human-resources/title-ix.html>

Alabama A&M University



Sexual Harassment and Title IX Complaint and Procedures

Alabama A&M University is committed to creating and maintaining an educational environment and workplace that is free from discrimination and harassment.

A publication of the Office of Human Resources
October 2019

FACULTY HANDBOOK



Alabama Agricultural and Mechanical University

Normal, Alabama 35762

Motto: "Service Is Sovereignty"

Effective November 2018

response to the charge(s) within ten (10) working days of the date of the notification.

When the Director of Human Resources/EEO receives the respondent's response, the Director/EEO will investigate the charge(s), decide if harassment has occurred, and provide in writing a confidential summary of the complaint, the response, the facts of the investigation, and his/her written decision to the Provost and Vice President for Academic Affairs and Research.

The Provost will review all of the documents received, including any notes from interviews performed by the Director of Human Resources and will either concur or disagree with the Director of Human Resources findings. If the Provost concurs with the determination by Human Resources, the Provost will notify all parties included of the decision, and any disciplinary action, if needed, which may include dismissal. If the Provost disagrees with the determination by the Director of Human Resources, the entire file will be submitted to the Office of General Counsel, whose determination of whether the harassment occurred will be final. In any event, the Provost will notify all parties of the outcome and impose any discipline. In certain instances, the accused may be entitled to termination hearings or the grievance process, if applicable.

3.12.3 APPEALS ON DISCIPLINARY ACTIONS UNDER THE HARASSMENT PROCEDURE

If a faculty member wants to appeal the decision of the Provost and Vice President for Academic Affairs and Research in terms of any disciplinary action taken, the faculty member may appeal the decision to the President. The President shall review the investigation file and recommendation to make a determination regarding the appeal. The President's decision is final.

3.12.4 RELATIONSHIPS

As used in Section 3.7.7, the term "faculty" or "faculty member" means all those persons (full- or part-time) serving the University in a teaching or research capacity. The University's educational mission is promoted by professionalism in faculty-student relationships. Professionalism is fostered by an atmosphere of mutual trust and respect. Actions of faculty that harm this atmosphere undermine professionalism and hinder fulfillment of the University's educational mission.

Amorous relationships, whether consensual or otherwise, between faculty members and students are prohibited when the faculty member has professional responsibility for the student, such as a student enrolled in a course being taught by the faculty member or whose academic work, including work as a research/teaching assistant, is being supervised by the faculty member. Any faculty who enters into a relationship in violation of University policy shall be subject to disciplinary action.

3.13 ANTI-DISCRIMINATION POLICY

Alabama Agricultural and Mechanical University conducts business without discrimination on the basis of race, color, gender, age, ethnic or national origin, religion, disability, and any other non-job related legally protected category. The University is committed to the goal of freedom from all forms of discrimination in its work and learning environment and to ensuring that individuals and groups are not disadvantaged because of non-job related characteristics.

The University is committed to maintaining an environment which is free from all forms of unlawful discrimination under applicable federal and state law. Such laws include but are not limited to the following enactments: Title VII of the Civil Rights Acts, the Equal Pay Act, and Age Discrimination in Employment Act, the Americans with Disabilities Act, the Pregnancy Discrimination Act, the Vocational Rehabilitation Act, and the Vietnam Veteran's Readjustment Act. Discrimination against students, staff, faculty, and members of the general public will not be condoned on University premises at any time.

3.14 ANTI-NEPOTISM POLICY

Alabama A&M University's Nepotism Policy operates in accordance with the State of Alabama's nepotism statute, mandating "No officer or employee of the state or of any state institution shall appoint, or enter a personal service contract with, any person related to him/her within the fourth degree of affinity or consanguinity to any job, position or with any of its agencies." Alabama Code, Section 41-1-5 (1975)

This statute applies to all Alabama A&M University employees and prohibits the permanent or temporary employment of an individual from the "immediate family" of a University employee who would have a "direct supervisory relationship" that may influence the "terms and conditions of employment" with the corresponding relative. Individuals who are related by blood, marriage, or reside in the same household are permitted to work in the same University department, provided no direct reporting or supervisor to subordinate relationship exists. That is, no employee is permitted to work within "the chain of command" when one relative's work responsibilities, salary, hours, career progress, benefits or other terms and conditions of employment could be influenced by the other relative.

Alabama A&M University reserves the right to make corrective actions when conflicts of interest arise in violation of this policy.

Exceptions to this policy must be requested in writing to the Office of Human Resources. Exceptions may only be granted if a position can be structured to ensure no prohibited working relationship exists among family members.

DEFINITIONS

1. Immediate Family is defined to the "fourth degree of affinity or consanguinity" which includes spouses, children, parents, siblings, grandparents, grandchildren, aunts, uncles, first cousins, corresponding in-laws, "step" relatives, and any members of the University Employee's household.
2. Direct Supervisory Relationship is defined by the direct influence on the "terms and conditions of employment" of a University employee.
3. Terms and Conditions of Employment include, but are not limited to, an employee's work responsibilities, salary, schedule, career progress, benefits, performance evaluation, or other workplace factors.



Procedure 6.16: Title IX Policy and Procedure
Volume 6.

Managing Office: Office of Human Resources

Effective Date: July 1, 2016

I. INTRODUCTION

Alabama A&M University (AAMU) is committed to creating and maintaining a safe educational and work environment that is free from discrimination and harassment.

II. OBJECTIVE AND PURPOSE

The objective is to ensure that everyone is aware, informed, and prepared to address concerns regarding sex discrimination and harassment in all forms.

Title IX of the Education Amendments of 1972 prohibits discrimination based on sex in educational programs and activities that receive federal financial assistance. As a part of a campus-wide comprehensive prevention program and to ensure compliance with Title IX and other federal and state civil rights laws, AAMU has developed policies and procedures that prohibit sex discrimination and harassment in all forms.

III. UNIVERSITY STATEMENT ON NON-DISCRIMINATION

In compliance with Title IX of Education Amendments of 1972, Title VI and VII of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and other federal, state, and local laws, AAMU is committed to an educational and work environment in which all individuals are treated with respect and dignity. Therefore, discrimination or harassment based on age, race, sex (which includes gender, gender identity, and gender expression), color, religion, national origin, disability, genetic information, sexual orientation, covered veteran status, or any other characteristics protected under state, federal, or local law will not be tolerated. This applies to all applicants, employees, students, guests, vendors, and persons doing business with the University. The University prohibits harassment, discrimination and retaliation whether engaged in by fellow employees, by a supervisor or manager or by someone not directly connected to the University. (e.g., an outside vendor or customer). The Human Resources Director is the individual designated by the University to coordinate its

efforts to comply with Title IX, Section 504 and other equal opportunity and affirmative action regulations and laws.

IV. POLICY

Sex discrimination and harassment violate an individual's fundamental rights and personal dignity. AAMU considers sex discrimination and harassment in any of its forms to be a serious offense. This policy refers to all forms of sex discrimination, including but not limited to: unfair treatment based on an individual's sex/gender, sexual harassment, sexual assault, sexual misconduct, sexual exploitation and sexual violence by other students, employees, or third parties.

V. INFORMAL PROCEDURE: A USEFUL FIRST STEP BEFORE FILING FORMAL COMPLAINTS

Before pursuing the formal complaint process, very reasonable effort should be made to constructively resolve issues with faculty, staff, or administrators, including following procedures for formal appeal. Whenever possible and safe, a meeting should be scheduled with the appropriate academic dean (for students against employees) or the Associate Vice President for Student Affairs (for student against student or employee against student) to attempt to resolve the complaint. If these efforts are unsuccessful, the formal complaint process may be initiated. AAMU does not require a student to contact the person involved or that person's supervisor if doing so is not feasible, or if the student believes that the conduct cannot be effectively addressed through informal means.

VI. FORMAL GRIEVANCE PROCEDURE

This procedure is intended to apply to student Title IX grievances against staff or faculty employees. All other grievances by students against students or employees against students will be addressed through the student code of conduct procedures.

Employees who feel they have been treated unfairly based on sex (or other protected classes) by another employee should refer to the University's Policy Regarding the Prohibited Harassment of Employees in addition to this policy.

PROCEDURE

If a complaining party does not wish to utilize the informal resolution procedure or is dissatisfied with the outcome of the informal resolution procedure, a reporting party may pursue the formal procedure. In cases alleging sexual violence or nonconsensual sexual acts between students, a formal complaint should normally be filed by the complaining party with the Office of Student Affairs, which will follow its written

procedures for resolving such complaints. In cases in which the accused is a University employee or third party, a complaint should be filed with the Office of Human Resources, which will follow its written procedures for resolving such complaints.

In all procedures involving allegations of violations of policy, the standard of proof shall be "preponderance of the evidence." A preponderance of the evidence means that the information shows that it is "more likely than not" that the accused violated the policy. No language in any otherwise applicable conduct or honor code will supersede this standard of proof requirement.

In all formal procedures involving allegations of violations of this Policy by students, the adjudicative body shall be comprised of persons who have received appropriate training approved by the Deputy Title IX Officer and who have been judged to be impartial in this case or capable of impartial evaluation of the allegations.

The following persons have been designated to handle inquiries regarding the non-discrimination policies:

Dr. Jarrett Walton, MS-HRD Director of Human Resources & Title IX Coordinator
Office of Human Resources and Affirmative Action
Normal, Alabama 35762
Phone: (256) 372-5835
Fax: (256)372-5881
Email: jarrett.walton@amu.edu

VII. GUIDANCE ON REPORTING

AAMU encourages students who have experienced any form of sexual misconduct to report the incident promptly, to seek all available assistance, to pursue Code of Conduct charges, and where appropriate, to pursue criminal prosecution of the offender. AAMU takes complaints very seriously and will work with complaining parties to ensure their safety and remedy the situation. Chairperson, Deans, Department Heads, and Supervisors have a duty to identify and report discriminatory behaviors. Employees and person with responsibility for supervising or ensuring safety of others (including student employees in the course of their

employment duties) have a duty to report discriminatory behaviors observed or reported to them.

VIII. OFFICE WHERE A COMPLAINT OR REPORT MAY BE FILED

The University encourages those who have experience sex discrimination to report these offenses to the Title IX/Deputy Title IX Coordinator (identified with contact information in VI). Sexual misconduct offenses may also be report to the Department of Public Safety at 256-372-5555.

IX. GUIDANCE ON TAKING IMMEDIATE ACTION

Tell a trusted person about the incident. Take any immediate action necessary to ensure your safety and physical well-being are addressed first. Depending on the nature of the offense, you may choose to take the following actions:

1. Take the immediate action necessary to ensure your safety and well-being.
2. Contact the Alabama A&M University Department of Public Safety at 256-372-5555.
3. Report the incident to the Title IX/Deputy Title IX Coordinator as listed in Section VI.
4. Seek immediate medical attention at an area hospital.
5. Other helpful resources include:
 - a. Crisis Services of North Alabama at 256-716-1000
 - b. Alabama A&M University Health and Counseling Services at 256-372-5601

In the event that sexual assault or violence occurred, do everything possible to preserve evidence by making certain that the crime scene is not disturbed. (The decision to press charges does not have to be made at this time. However, following these procedures will help preserve this option for the future.) Complaining parties should not bathe, urinate, douche, brush teeth, or drink liquids. Clothes should not be changed; but if they are, bring all the original clothing to the hospital in a paper bag, as plastic bags may damage the evidence.

X. COMPLAINT PROCEDURE

All incidents of sex discrimination, including sexual misconduct or retaliation, should be reported to the Title IX Coordinator or designee. The Title IX Coordinator ensures that adequate, reliable, and impartial investigations are conducted on all complaints.

XI. INVESTIGATION

A preliminary investigation into the report shall be conducted by the Title IX Coordinator or designee. The preliminary investigation shall be concluded as quickly as possible within the

amount of time reasonably required to complete the investigation. The preliminary investigation will be conducted in a manner so that it is adequate, reliable, and impartial.

The preliminary investigation may include interviews of the parties involved, including witnesses, and the gathering of other relevant information.

At any time during the preliminary investigation, the Title IX coordinator or designee may recommend that interim protections or remedies for the involved parties or witnesses be provided by appropriate University officials. These protections or remedies may include: separating the parties, placing limitations on contact between the parties, temporarily suspending one or more party, or making alternative workplace or student housing arrangements. These remedies may be applied to one or more parties involved. Failure to comply with the terms of interim protections may be considered a separate violation of University policy.

Written notice of the outcome of this preliminary investigation shall be given to the parties involved by the Title IX Coordinator or designee as soon as reasonably practicable after the conclusion of the preliminary investigation.

The University has developed both informal and formal complaint resolution procedures to respond to sex discrimination. The use of the informal complaint resolution procedure is optional. In instances where the parties involved do not wish to engage in the informal procedure, where attempts at the informal procedure are unsuccessful, or in situations where informal resolution is inappropriate, the formal procedure should be followed.

XII. COOPERATION WITH LAW ENFORCEMENT

The University will comply with law enforcement requests for cooperation, and such cooperation may require the University to temporarily suspend the fact-finding aspect of a preliminary Title IX investigation while the law enforcement agency is in the process of gathering evidence. The University will promptly resume its preliminary Title IX investigation as soon as notified by the law enforcement agency that it has completed the evidence-gathering process.

The University will implement appropriate interim steps during the law enforcement agency's investigation period to provide for the safety of the complaining party(s) and the campus community and avoid retaliation.

XIII. SEXUAL HARASSMENT AND TITLE IX COMPLIANCE

Sexual harassment is a violation of Title VII of the Civil Rights Act of 1964 and is illegal, sex-based discrimination under Title IX of the Education Amendments Act of 1972. It is against the policy of AAMU for any person (faculty, administrator, staff member, or student), male or female, to engage in sexual harassment of another person (faculty, administrator, staff member, or student). Sexual harassment is defined as unwelcome sexual advance, request for sexual favors, and/or other conduct of a sexual nature.

All personnel including faculty, administrators, staff members, and students will be expected to comply with the policy and take appropriate measures to ensure that sexual harassment does not occur. Appropriate disciplinary action, up to and including termination or expulsion, will be taken against anyone who violates this policy in accord with relevant AAMU disciplinary procedures for that person's association with the University (faculty, administrators, staff members, or students).

The Title IX coordinator is responsible for overseeing all Title IX complaints and identifying and addressing any patterns or systematic problems that arise during the review of such complaints. The Title IX coordinator is available to meet with students and employees as needed.

XIV. IMPORTANT DEFINITIONS AND EXAMPLES

A. Consent

"Consent" must be informed, voluntary, and mutual, and can be withdrawn at any time. There is no consent when there is force, expressed or implied, or when coercion, intimidation, threats, or duress is used. Whether a person has taken advantage of a position of influence over another person may be a factor in determining consent. Silence or absence of resistance does not imply consent. Past consent to sexual activity with another person does not imply ongoing future consent with that person or consent to that same sexual activity with another person.

If a person is mentally or physically incapacitated or impaired so that such person cannot understand the fact, nature, or extent of the sexual situation, there is no consent; this includes impairment or incapacitation due to alcohol or drug consumption that meets this standard, or being asleep or unconscious.

B. Sexual Assault

"Sexual assault" is actual or attempted sexual contact with another person without that person's *consent*. Sexual assault includes, but is not limited to:

Intentional touching of another person's intimate parts without that person's *consent*; or

- Other intentional sexual contact with another person without that person's *consent*; or
- Coercing, forcing, or attempting to coerce or force a person to touch another person's intimate parts without that person's *consent*; or

Rape, which is penetration, no matter how slight, of (1) the vagina or anus of a person by any body part of another person or by an object, or (2) the mouth of a person by a sex organ of another person, without that person's consent.

C. **Sexual Discrimination**

Sexual discrimination is defined as behaviors and actions that deny or limit a person's ability to benefit from, and/or fully participate in, the educational programs or activities or employment opportunities because of a person's sex/gender.

Example of sex discrimination under Title IX include, but are not limited to, sexual harassment, sexual assault, failure to provide equal opportunity in education programs, activities, and co-curricular programs including athletics, discrimination based on pregnancy, and employment discrimination.

D. **Sexual Exploitation**

"Sexual exploitation" occurs when a person takes sexual advantage of another person for the benefit of anyone other than that person without that person's *consent*.

Examples of behavior that could rise to the level of sexual exploitation include:

Prostituting another person;

- Recording images (e.g., video, photograph) or audio of another person's sexual activity, intimate body parts, or nakedness without that person's *consent*;

Distributing images (e.g., video, photograph) or audio of another person's sexual activity, intimate body parts, or nakedness, if the individual distributing the images or audio knows or should have known that the person depicted in the images or audio did not *consent* to such disclosure and objects to such disclosure; and,

Viewing another person's sexual activity, intimate body parts, or nakedness in a place where that person would have a reasonable expectation of privacy, without that person's *consent*, and for the purpose of arousing or gratifying sexual desire.

E. **Sexual Harassment**

Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, or visual, verbal, or physical conduct of a sexual nature when:

1. Submission to such conduct is made a term or condition of employment or the educational relationship;
2. Submission to or rejection of such conduct is used as a basis for employment or education decisions affecting the individual, or
3. Such conduct is so severe and pervasive as to objectively interfere with the educational, living, or work performance or environment of a student or employee.

Sexual harassment can involve males or females being harassed by members of either sex. Although sexual harassment sometimes involves a person in a position of greater authority than the harasser, individuals in positions of lesser or equal authority can be found responsible for engaging in prohibited harassment. Sexual harassment can be physical and/or psychological in nature. A series of incidents can constitute sexual harassment even if one of the incidents considered separately would not rise to the level of harassment.

While sexual harassment includes a wide range of conduct, some examples of specifically prohibited conduct include:

1. Promising, directly or indirectly, a reward to a student, if the student complies with a sexually-oriented request.
2. Threatening, directly or indirectly, retaliation against a student if the student refuses to comply with a sexually-oriented request.
3. Denying, directly or indirectly, a student an education or employment-related opportunity if the student refuses to comply with a sexually-oriented request.
4. Engaging in unwelcome sexually suggestive conversation or inappropriate physical contact or touching a student.
5. Engaging in indecent exposure.
6. Making repeated or persistent sexual or romantic advances toward a student despite the student's rejection of the advances.
7. Engaging in unwelcome physical contact such as touching, blocking normal movement, physical restraint, or assault.
8. Retaliating against a student for filing a harassment complaint or threatening to report harassment.

F. Unwelcome Conduct

Conduct is considered "unwelcome" if an individual did not request or invite it and considered the conduct to be undesirable or offensive. Unwelcome conduct may take various forms, including, name-calling, graphic or written statements (including the use of cell phones or the Internet), or other conduct that may be physically threatening.

XV. SUPPORT SERVICES

These are various supportive measures available for those who have experienced sex discrimination. These support sources include:

Title IX Coordinator: The Title IX Coordinator serves as the central reference person for information about reporting and the investigative procedure. Additional support services include:

Alabama A&M University Health and Counseling Services: Students who have experienced any form of sex discrimination, including sexual misconduct, may receive confidential counseling at Alabama A&M University Health and Counseling Services by calling 256-372-5601.

XVI. REASSIGNMENTS

When the complaining party and the accused student participate in the same courses, reside in the same University residence or in proximity to one another, or participate in the same activities (e.g., sports teams), complaining parties may request that a fair and immediate way to reassign and/or move one of the person be decided upon by the Title IX Coordinator and the Vice President for Student Affairs or a designee. The Vice President for Student Affairs of designee will consult with the Office of the Provost in making decisions as to whether the complainant/respondent can be released from classes, the appropriate academic dean(s) or faculty in making a determination regarding alternative classroom assignments for the accused student, and/or the complaining party who has experience a sex offense, and with Housing & Residence Life in making a determination regarding alternative housing assignments.

When a student employee makes an allegation of sexual misconduct and the accused individual works in the same department, alternative work assignments may be made by the appropriate administrator upon request.

AAMU employees who need assistance may contact the AAMU Human Resources Director for information regarding counseling options.

XVII. RETALIATION

AAMU strictly prohibits retaliation against any person for using this reporting procedure, or for filing, testifying, assisting, or participating in any investigation or proceeding involving allegations of sex discrimination. Any person who violates this policy will be subject to discipline, up to and including termination, if they are an employee, or dismissal if they are a student.

Retaliation includes intimidation, threats, harassment and any other adverse action threatened or taken against any complainant or third party because of the complaint or participation in the investigation and/or hearing process.

XVIII. CONFIDENTIALITY

Those who have experienced sex discrimination should know that all University employees, excluding licensed professionals from Student Counseling Services, must report known felonies to the police, either directly or through the University Public Safety Department.

If you would like to report an incident or speak to someone about something that happened and you desire that details of the incident be kept confidential, you should speak with the staff members in the AAMU Health and Counseling Center or a member of an off-campus crisis resource, such as Crisis Services of North Alabama. Campus counselors are available to help students and can be seen on an emergency basis. All inquiries, complaints, and investigations are treated with discretion. Information is disclosed as law and policy permit or require. However, the identity of the complainant is usually disclosed to the person (s) accused of such conduct and to relevant witnesses.

The Title IX Coordinator or designee shall maintain all information pertaining to a complaint or investigation in secure files.

XIX. FEDERAL STATISTICAL REPORTING OBLIGATIONS

Certain campus officials (Department of Public Safety officials) have a duty to report violations of this policy for federal statistical reporting purposes. All personally identifiable information is kept private, but statistical information must be passed along to Campus Security officials regarding the type of incident and its general location (on or off-campus, in the surrounding area, but no addresses are given), for publication in the annual Campus Security Report. This report helps to provide the community with a clear picture of the extent and nature of campus crime, to ensure greater community safety.

XX. SPECIAL PROVISIONS

- A. **Attempted Violations-** In most circumstances, the University will treat attempts to commit any of the violations listed in this Policy as if those attempts had been completed.
- B. **False Reports-**The University will not tolerate intentional false reporting of incidents. Intentional false reports may also violate state criminal statutes and/or civil defamation laws.
- C. **Immunity for Complaining Parties-**The University community encourages the reporting of sex discrimination violations. Sometimes, complaining parties are hesitant to report to University officials because they fear that they themselves may be charged with policy violations, such as underage drinking at the time of the incident. It is in the best interest of this community that as many complaining parties as possible choose to report to University officials. To encourage reporting, the University pursues a policy of offering complaining parties of sex discrimination limited immunity from being charged with policy violations related to the particular incident. While violations to policy cannot be completely overlooked, the University will provide educational options rather than sanctions in such cases.
- D. **Good Samaritan-** The welfare of students in the University community is of paramount importance. At times, students on and off campus may need assistance.

The University encourages students to offer help and assistance to others in need.

- E. Parental Notification-The** University reserves the right to notify parents/guardians of students regarding any health or safety emergency, change in student status, or conduct situation. The University also reserves the right to designate which University officials have a need to know about individual complaints pursuant to the Family Educational Rights and Privacy Act (FERPA).
- F. Notification of Outcomes-The** outcome of a Title IX investigation involving students is part of the education record of the student parties involved, and is protected from release under a federal law, FERPA. However, the University observes the legal exceptions that allow for notification of the parties involved and others whom the University determines to inform based on the law and this policy. Students who bring any sort of sex discrimination complaint against faculty or staff shall be informed of the outcome of the investigation and the resolution at the same time as the complaint respondent. The University may release publicly the name, nature of the violation and the sanction for any student who is found in violation of a University policy that is a "crime of violence," including: sex offenses, arson, burglary, robbery, criminal homicide, assault, destruction/damage/vandalism of property and kidnapping/abduction. The University will release this information to the complainant in any of these offenses regardless of the outcome.
- G. Alternative Testimony Options for Sexual Misconduct Hearings-For** sexual misconduct complaints, whether the complaining party is serving as the complainant or as a witness, alternative testimony options may be given. While such options are intended to help make the complaining party more comfortable, they are not intended to work to the disadvantage of the accused student.
- H. Changing Academic or Living Arrangements and Interim Protective Measures:**
- **Academic Schedules-Any** student who has been affected by sexual misconduct who wishes to change his/her classroom or academic situation may discuss various options with the Office of Academic Affairs. Options include total University withdrawal, discrete course withdrawal, or change of section.
 - **Campus Room or Apartment-Any** student who has been affected by sexual misconduct has the option of changing her/his on-campus housing assignment if alternate housing is reasonably available by contacting the Vice President for Student Affairs.
 - **Interim Protective Measures-The** University may take interim steps to protect the complainant as necessary before the final outcome of an

investigation. Measures include, but are not limited to no contact agreements, interim suspension, and temporary removal from University housing may be taken if deemed appropriate. Any reported retaliatory harassment will be addressed immediately by the Department of Public Safety and or Student Affairs.

- I. **Past Sexual History or Character of the Parties**-The unrelated past sexual history or sexual character of a party will not be admissible in hearings.



Procedure 6.11: Sexual Harassment Complaint Procedures
 Volume 6
 Managing Office: Office of Human Resources
 Effective Date: October 7, 2012

I. PURPOSE

Alabama A& M University (AAMU) is committed to a work environment in which all individuals are treated with respect and dignity. Therefore, discrimination or harassment based on age, race, gender, color, religion, national origin, disability, genetic information, sexual orientation, covered veteran status, or any other characteristics protected under state, federal, or local law will not be tolerated.

II. OBJECTIVE

This procedure is to provide guidance for complying with Non-Discrimination and Anti-Harassment Policy as outlined in the *University Staff Handbook (September 16, 2011), Revised March 5, 2012*, Section 8.6: Non-Discrimination and Anti-Harassment Policy and the corresponding Sections 3.12 and 3.12.1 of the *University Faculty Handbook (September 11, 2011), revised March 5, 2012*.

III. PROCEDURES

Any Alabama A& M University ("AAMU") faculty or staff member ("affiliated individual") who believes he or she has been sexually harassed by another AAMU affiliated individual should report the incident to the Director of Human Resources/EEO ("Director"). A student may report the incident to the Department of Public Safety, Vice President for Student Affairs, Associate Vice President (VP) for Student Affairs and/or Director of Counseling Services, who will inform the Director of the complaint. The Director will notify the Associate VP for Student Affairs of any complaint reported directly by a student. Student against student complaints are investigated by the Associate VP for Student Affairs. Employees against student complaints are investigated by the Associate VP for Student Affairs in conjunction with the Director. All other complaints, including complaints against employees are investigated by the Director. At the conclusion of the investigation, the Director will normally take one of the following courses of action:

- A. If an investigation reveals that there is insufficient evidence to support the allegation of sexual harassment, the complaint will be dismissed.
1. If the respondent is a student, the Associate VP for Student Affairs will notify all parties.
 2. If the respondent is a staff member, the Director will notify all parties.
 3. If the respondent is a faculty member, the Provost and Vice President for Academic Affairs (Provost) will notify all parties.
- B. If it is determined that there is sufficient evidence to indicate that the allegations of sexual harassment have merit and disciplinary measures are indicated, but the behavior is not serious enough to warrant, in the case of an employee, termination of employment, or in the case of a student, eviction from residence or suspension/expulsion from the University, the Director shall normally proceed as follows:
1. If the respondent is a student, the Associate VP for Student Affairs will proceed with disciplinary action against the respondent according to the Code of Student Conduct.
 2. If the respondent is a staff member, the Director with the respondent's Dean or Department Head will work together to eliminate the sexual harassment and ensure that the behavior does not recur. The Director will notify all parties of the outcome.
 3. If the respondent is a faculty member, the Director will provide in writing a confidential summary of the complaint, the response, the facts of the investigation and his/her written decision to the Provost. The Provost will review all of the documents received, including any notes from interviews performed by Human Resources and will either concur or disagree with Human Resources' findings. If the Provost concurs with the determination by Human Resources, he/she will notify all parties included of the decision, and any disciplinary action. If the Provost disagrees with the determination by Human Resources, the entire file will be submitted to the Office of General Counsel, whose determination of whether the harassment occurred will be final. The Provost will notify all parties of the outcome and impose any discipline. Faculty may appeal discipline imposed by the Provost to the President, whose decision in the matter of discipline shall be final.
- C. If the preliminary investigation reveals evidence indicating that the allegations have merit and the violations are so serious as to warrant disciplinary action, including, in the case of an employee, termination of employment, or in the case of a student, eviction from residence or suspension/expulsion from the University, the Director shall normally proceed as follows:

1. If the respondent is a student, the Director and Associate VP for Student Affairs will forward an investigation report to the Vice President for Student Affairs. The case will be resolved under the Code of Student Conduct.
2. If the respondent is a staff member, the Director will inform the respondent's Dean or Department Head that the investigation resulted in a determination that sexual harassment occurred and will recommend appropriate disciplinary action. The case will be resolved under the procedures outlined in the *University Staff Handbook (September 16, 2011), Revised March 5, 2012*, Section 8.3: Termination for Cause. Director will notify the complainant of the outcome.
3. If the respondent is a faculty member, the Director will provide in writing a confidential summary of the complaint, the response, the facts of the investigation, and his/her written decision to the Provost. The Provost will review all of the documents received, including any notes from interviews performed by Human Resources and will either concur or disagree with Human Resources' findings. If the Provost concurs with the determination by Human Resources, he/she will notify all parties included of the decision of dismissal. If the Faculty respondent is a tenured Faculty, the process will proceed as outlined in the *University Faculty Handbook (September 16, 2011), Revised March 5, 2012*, Section 6.2.2.1 If the Provost disagrees with the determination by Human Resources, the entire file will be submitted to the Office of General Counsel, whose determination of whether the harassment occurred will be final. The Provost will notify all parties of the outcome and impose any discipline.

IV. RECORDS

The Office of Human Resources will maintain all records related to the investigation according to current regulations and associated retention schedules.

**Alabama Agricultural and Mechanical University
Office of Human Resources**

**Mailing Address: Human Resources, Alabama A&M University, Normal, AL 35762
Phone: 256.372.5835 Fax: 256.372.4881**

Complaint Form

(This form is only to be used to file a complaint of discrimination, harassment, and/or retaliation.)

(Print or Type)

General Information:

Name: _____ Date: _____

Undergraduate Student Graduate Student Staff Faculty
 Other: _____

Current Address: _____

Home Number: _____ Cell Number: _____

Email address: _____

Respondent (s)- person(s) against whom the complaint is being filed

Alleged Offender's Name: _____

Alleged Offender: Faculty Staff Student Other

Department: _____

Alleged Offender's Name: _____

Alleged Offender: Faculty Staff Student Other

Department: _____

Basic of Your Complaint-check all that apply

- | | |
|---|---|
| <input type="checkbox"/> Age | <input type="checkbox"/> National/Ethnic Origin |
| <input type="checkbox"/> Color | <input type="checkbox"/> Political Affiliation |
| <input type="checkbox"/> Disability | <input type="checkbox"/> Race |
| <input type="checkbox"/> Religion | <input type="checkbox"/> Sexual Orientation |
| <input type="checkbox"/> Retaliation | <input type="checkbox"/> Sex (including pregnancy) |
| <input type="checkbox"/> Veteran Status | <input type="checkbox"/> Other/Not for Sure |
| | Explain: _____ |
| | <input type="checkbox"/> Family Medical and Genetic Information |

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Complaint Form

(This form is only to be used to file a complaint of discrimination, harassment, and/or retaliation.)

(Print or Type)

Explanation of Circumstances

Describe what you believe to be discrimination, harassment, and/or retaliation, include details about any harm you have suffered. List each incident, including the date, and provide any other details which support your complaint. Identify all persons involved. If necessary, please attach additional pages.

Witnesses

List everyone you believe can provide relevant information regarding your complaint. Include all contact information (i.e., name, phone, email address) for each witness as well as a brief explanation of the witness's knowledge. If necessary, please attach additional pages.

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Office of Human Resources**

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Phone: 256.372.5835

Fax: 256.372.4881

Complaint Form

(This form is only to be used to file a complaint of discrimination, harassment, and/or retaliation.)

(Print or Type)

Evidence

Do you have evidence supporting the incidents described above i.e., letters, emails, photos, etc. (attach evidence if possible): Yes No Evidence attached

Is there any physical evidence that supports your complaint? If so, please describe or attach a copy.

Acknowledgment

To investigate your complaint, it will be necessary to interview you, the alleged respondent(s), and any witnesses with knowledge of the allegations or defenses. Complaints and actions taken to resolve complaints will be handled as confidentially as possible, given the University's obligations to investigate and act upon reports of such complaint. Confidentiality will be maintained throughout the investigation of any complaint to the extent possible, while remaining consistent with the goal of conducting a thorough investigation and implementing corrective action, as appropriate.

The information provided in this complaint is true and correct to the best of my knowledge. Making false or frivolous allegations is in violation of the University's policy. I am willing to cooperate fully in the investigation of my complaint and provide whatever evidence the University deems relevant.

Signature

Date

Please return to the Office of Human Resources
or mail to the address at the top of the form or fax to (256)372-5881.
For questions, please call (256) 372-5835.



Procedure 6.8: Americans with Disabilities Act (ADA)

Volume 6

Managing Office: Office of Human Resources

Effective Date: September 16, 2011

I. Purpose

The University committed to ensuring equal opportunity and access to all members of the campus community in accordance with Section 503/504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 (ADA). The University prohibits discrimination against any employee or applicant on the basis of physical or mental disability, or perceived disability. The University will provide reasonable and appropriate accommodations to enable employees to participate in the life of the campus community. Individuals with disabilities are responsible for reporting and supplying documentation verifying their disability. Requests for accommodations must be initiated through the Office of Human Resources by submission of the ADA Accommodation Request Form that is posted on the Human Resources Website.

II. Definition

The ADA's protection applies primarily, but not exclusively, to "disabled" individuals. An individual is "disabled" if he or she meets at least any one of the following tests:

- a. He or she has a physical or mental impairment that substantially limits one or more of his/her major life activities;
- b. He or she has a record of such an impairment; or
- c. He or she is regarded as having such impairment.

Employees with disabilities at the University are encouraged to confer with the Office of Human Resources to identify suitable accommodations and services after submission of the required ADA Accommodation Request Form. Any questions, difficulties, or concerns should be referred to the Office of Human Resources as soon as possible.

III. Notification Requirements and Service Criteria

- a. **Self-Disclosure:** All employees seeking accommodation under section 504 of the Rehabilitation Act of 1973 *et seq.* or the Americans with Disabilities Act must self-identify with the Office of Human Resources. For accommodations, a written requisition must be submitted to this Office. The form to request ADA Accommodations is posted on the Office of Human Resources Website.
- b. **Documentation:** It is the responsibility of employees to submit documentation of physical or learning disabilities from qualified and licensed medical or testing personnel. Expenses incurred in obtaining the professional verification are the individual's responsibility. The following documentation criteria and the ADA Accommodation Request Form should be used in forwarding assessments to the Office of Human Resources for disabilities verification:
 1. Physical, Sensory, and Health-Related Disabilities

- a. Verification of the disabling condition must be obtained from a licensed health care professional that is qualified and currently or recently associated with the individual.
 - b. The diagnosis must reflect the present level of functioning of the major life activity affected by the disability.
2. Psychological Disorders or Attention Disorders
 - a. Verification of diagnosis and severity of disabling condition from a qualified professional (e.g., psychiatrist for ADD/ADHD, psychologist or psychiatrist for other psychological disorders).
 - b. A detailed description of how this impairment significantly limits a major life activity should be provided.
3. Learning Disabilities
 - a. A professional qualified to diagnose a learning disability (e.g., a licensed psychologist, learning disabilities specialist, neuropsychologist), must prepare the evaluation. Collaboration with speech and language clinicians, reading specialists and other educational professionals may be appropriate and necessary for a comprehensive assessment.
 - b. Results of a clinical interview with the individual and descriptions of testing procedures, instruments used, test and sub-test results reported in standard scores should be included.
 - c. Evaluations must be comprehensive and include test results in the following areas, where applicable; intelligence, reading, mathematics, spelling, written language, language processing and cognitive processing skills. Testing should carefully examine areas of concern/weakness as well as areas of strengths.
 - d. A clear diagnostic statement based on test results and personal history must be included.
 - e. An evaluation should be no more than three years old. This requirement may be waived if deemed not medically necessary.
- c. Employee Responsibilities: Employees with disabilities are obligated to utilize all adjustments and/or accommodations properly and responsibly.

IV. Reasonable Accommodation

The University has adopted the following as established by the U.S. Equal Employment Opportunity Commission (EEOC):

A qualified employee or applicant with a disability is an individual who, with or without reasonable accommodation, can perform the essential functions of the job in question. Reasonable accommodation may include, but is not limited to:

- a. Making existing facilities used by employees readily accessible to and usable by persons with disabilities;
- b. Job restructuring, modifying work schedules, reassignment to a vacant position; and
- c. Acquiring or modifying equipment or devices, adjusting/modifying examinations, training materials, or policies, and providing qualified readers or interpreters.

The University is required to make an accommodation for the known disability of a qualified applicant or employee if it would not impose an "undue hardship" on the operation of the University's business. Undue hardship is defined as an action requiring significant difficulty or expense when considered in light of factors such as an employer's size, financial resources and the nature and structure of its operation.

The University is not required to lower quality or production standards to make an accommodation, nor is it obligated to provide personal use items such as glasses or hearing aids.

The University will not ask job applicants about the existence, nature or severity of a disability. Applicants may be asked about their ability to perform specific job functions. A job offer may be conditioned on the results of a medical examination, but only if the examination is required for all entering employees in similar jobs. Medical examinations of employees must be job related and consistent with the University's business needs.

Employees and applicants currently engaging in the illegal use of drugs are not covered by ADA, when the University acts on the basis of such use. Tests for illegal drugs are not subject to the ADA's restrictions on medical examinations. The University will hold illegal drug users to the same performance standards as other employees.

V. Undue Hardship

For the purposes of this document, The University applies the ADA definition of "undue hardship" as an action requiring significant difficulty or expense. Factors to be considered in determining undue hardship may include, but are not limited to:

- a. the cost of the accommodation required under ADA;
- b. the financial resources of the facility involved in the provision of the reasonable accommodation;
- c. the number of students and/or employees involved;
- d. the financial impact on the facility;
- e. the impact on the operation and geographic, physical, administrative, or fiscal relationship of the facility in question.

VI. Provision of ADA Accommodations

If an employee is a qualified individual with a disability as required by the ADA, then the Director of Human Resources, or his/her designee, shall consult with the employee's immediate supervisor to determine necessary reasonable accommodations, if any, that will be granted to the employee. The provision of an ADA accommodation shall be based on employee's submission of required forms and documentation and consideration of the essential functions of his/her position as well as consideration of whether the accommodation will pose an undue hardship on the department.

The Office of Human Resources shall send a written ADA Accommodation Plan to the employee and his/her immediate supervisor. Documentation regarding the ADA Accommodation request and the accommodation plan, if any, shall be retained in a separate confidential file in the Office of Human Resources.

VII. Supervisors Responsibility Section

Supervisors are not authorized to unilaterally formulate or grant any form of an ADA Accommodation for any employee. All ADA Accommodation requests must be coordinated through the Office of Human Resources.

Supervisors must work with the Office of Human Resources to discuss the nature of the proposed ADA Accommodation, if any, to determine whether the proposed accommodation is practicable and will not create an undue hardship on the department.

VIII. ADA Complaints

All ADA complaints are considered to be allegations of discrimination and therefore must be filed with the Director of Human Resources.



Alabama Agricultural and Mechanical University

Office of Human Resources

Release of Medical Information Form (ADA)

Medical/Health Information

The undersigned hereby grants permission to Alabama A&M University, having its principal place of business at 4900 Meridian Street Normal, Alabama 35762, to discuss any and all medical/health related information with any medical practitioner, hospital, facility, or any other agency that has medical records or knowledge of the medical records of the undersigned for the purpose of evaluating the undersigned's request for a workplace accommodation under the Americans with Disabilities Act of 1990 (ADA) as amended.

Medical/Health Records

The undersigned hereby authorizes any medical practitioner, hospital, facility, or any other person or entity that has medical records or knowledge of the medical records of the undersigned to release such information upon request to Alabama A&M University, having its principal place of business at 4900 Meridian Street Normal, Alabama 35762, for purpose of evaluating the undersigned's request for a workplace accommodation under the Americans with Disabilities Act of 1990 (ADA), as amended.

Employee's (Patient) Printed Name: _____

Employee's (Patient) Signature: _____

Title/Position: _____

Employee's (Patient) Date of Birth: _____

Date: _____



Alabama Agricultural and Mechanical University Office of Human Resources

Mailing Address: Human Resources, Alabama A&M University, Normal, AL 35762

Phone: 256.372.5835

Fax: 256.372.5881

Americans with Disabilities Act (ADA) Accommodation Request Assessment Medical Certification of Physician or Practitioner Form (Revised October 2015)

Completed form must be returned to the Office of Human Resources within 15 days of the date of this form.

Section I: For Completion by the Employee

Employee's (Patient) Name: _____ Date: _____

Job Title: _____

Regular Work Schedule: _____

*Please attach a copy of your official Alabama A&M University job description to this document before submitting to your physician.

Section II: For Completion by the Health Care Provider

Instructions to the Physician:

The above employee has requested a workplace accommodation, to enable the employee to perform the essential functions of his/her position, either because of a disability as either defined under the Americans with Disabilities Act (ADA), as amended, or state law. The following form must be completed in detail and signed by the employee's attending medical provider. Please attach additional pages or records as needed. Do not provide information not related to the employee's ability to perform his/her job duties. Example: Do not identify an impairment if it does not have an impact on employee's ability to perform his/her job duties.

Definition

An employee has a disability if he or she has a physical or mental impairment that substantially limits one or more major life activities, or has a record of such an impairment or being regarded as having an impairment.

The ADA Amendments Act of 2008 provides examples of "major life activities," including, but are not limited to: caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, sitting, reaching, lifting, bending, speaking breathing, learning, reading, concentrating, thinking, communicating, interacting with others, and working, and the operation of a major bodily function, including functions of the immune system, special sense organs and skin; normal cell growth; and digestive genitourinary, bowel, bladder, neurological, brain, respiratory, circulatory, cardiovascular, endocrine, hemic, lymphatic, musculoskeletal, and reproductive functions. The operation of a major bodily function includes the operation of an individual organ within a body system.

Please do not send us medical records or genetic information: *The Genetic Information Nondiscrimination Act of 2008 (GINA) prohibits employers and other entities covered by GINA Title II from requesting or requiring genetic information of an individual or family member of the individual, except as specifically allowed by this law. To comply with this law, we are asking that you do not provide any genetic information when responding to this request for medical information. "Genetic information," as defined by GINA, includes an individual's family medical history, the results of an individual's*

or family member's genetic tests, the fact that an individual or an individual's family member sought or received genetic services, and genetic information of a fetus carried by an individual or an individual's family member or an embryo lawfully held by an individual or family member receiving assistive reproduction services.

In order to assist with the interactive process of determining reasonable accommodation, we are requesting you to provide feedback to the following questions based on your medical expertise. Please answer the questions on this form to help determine disability and reasonable accommodation.

1. Please confirm you have examined the employee and are familiar with the employee's medical history.
Yes _____ No _____

2. Is the employee released to return to work full-time, full duty without the need for restrictions, limitations, or accommodations? Yes _____ No _____

If yes, please state the employee's full, unrestricted return to work date: _____

If no, please complete the remainder of this form.

3. When can the employee return to work with restrictions or an accommodation? [Additional questions regarding restrictions or accommodations below.] _____

4. Does the employee have a physical or mental impairment(s)? Yes _____ No _____

5. Please list impairment(s): _____

Note: A physical or mental impairment under the ADA is:

- Any physiological disorder, condition, cosmetic disfigurement, or anatomical loss affecting one or more of the following body systems: neurological, musculoskeletal, special sense organs, respiratory (including speech organs), cardiovascular, reproductive, digestive, genitourinary, hemic and lymphatic, skin, and endocrine; or
- Any mental or psychological disorder, such as an intellectual disability, organic brain syndrome, emotional or mental illness, and specific learning disabilities.
- The disorder or condition is considered:
 - In its active state, even if presently in remission. (Examples: epilepsy, MS, asthma, cancer, bipolar disorder.)
 - Without regard to the effects of mitigating measures such as prostheses, medication, etc., except ordinary eyeglasses.
 - With consideration of the negative effects of treatment such as medication or other measures.

6. Limitations on major life activities. Does the employee's impairment substantially limit one or more major life activities? Yes _____ No _____

Note: Whether an impairment substantially limits the ability of an individual to perform a major life activity is determined:

- As compared to most people in the general population; and
- Does not need to prevent, or significantly or severely restrict, the individual from performing a major life activity – the impairment only needs to “substantially limit”

7. Which major life activity(s) is/are affected? Check all major life activities that both (a) are affected by the employee's impairment(s) and (b) restrict or limit the employee's ability to perform the employee's job duties.

Major life activities – general life activities:

<input type="checkbox"/> Bending	<input type="checkbox"/> Interacting with others	<input type="checkbox"/> Seeing	<input type="checkbox"/> Walking
<input type="checkbox"/> Breathing	<input type="checkbox"/> Learning	<input type="checkbox"/> Sitting	<input type="checkbox"/> Working
<input type="checkbox"/> Caring for self	<input type="checkbox"/> Lifting	<input type="checkbox"/> Sleeping	<input type="checkbox"/> Other(s) (describe)
<input type="checkbox"/> Concentrating	<input type="checkbox"/> Performing manual task	<input type="checkbox"/> Speaking	
<input type="checkbox"/> Eating	<input type="checkbox"/> Reaching	<input type="checkbox"/> Standing	
<input type="checkbox"/> Hearing	<input type="checkbox"/> Reading	<input type="checkbox"/> Thinking	

Major life activities – operation of major bodily functions:

<input type="checkbox"/> Bladder	<input type="checkbox"/> Digestive	<input type="checkbox"/> Lymphatic	<input type="checkbox"/> Reproductive
<input type="checkbox"/> Bowels	<input type="checkbox"/> Endocrine	<input type="checkbox"/> Musculoskeletal	<input type="checkbox"/> Respiratory
<input type="checkbox"/> Brain	<input type="checkbox"/> Genitourinary	<input type="checkbox"/> Neurological	<input type="checkbox"/> Sensory organs & skin
<input type="checkbox"/> Cardiovascular	<input type="checkbox"/> Hemic	<input type="checkbox"/> Normal cell growth	<input type="checkbox"/> Other(s) (describe)
<input type="checkbox"/> Circulatory	<input type="checkbox"/> Immune	<input type="checkbox"/> Operation of an organ	

8. For the impairments identified above, when did the employee's impairment(s) commence? If there is more than one impairment, please specify the start date for each:

Impairment	Start date

9. Performance of essential job functions. Does the employee's impairment(s) limit his/her ability to perform the essential functions of the employee's position (as defined in the job description) without any accommodations?

Yes _____ No _____

If the answer is yes, please:

a. Identify which essential function(s) the employee is unable to perform without an accommodation:

b. Describe the manner in which the employee's ability to perform each essential function is limited:

10. a. What accommodation(s) will enable the employee to perform the essential job functions? Please describe: *You must provide your best medical judgment, based on current information, as to the length of time the employee will need an accommodation to perform his/her essential job functions.*

b. How will the accommodation(s) assist the employee in performing the essential job functions?

c. Duration. For how long do you anticipate the employee will need the identified accommodation(s) to perform the essential job functions?

_____ (circle one) days / weeks / months / years; or _____ permanent

11. Additional information. Are you aware of any other information that Alabama A&M University should consider in assessing whether the employee can perform the essential job functions with or without accommodation?

Yes _____ No _____ If yes, please describe: _____

Health Care Provider Name (Print): _____

Health Care Provider Signature: _____ Date _____

Type of Practice: _____ Telephone Number _____

Address: _____

Upon completion, please return this form to:
Ms. Cheryl K. Johnson -- (256) 372-5881 (Facsimile)

Alabama Agricultural and Mechanical University Service and Support Animals Policy

Alabama Agricultural and Mechanical University (AAMU) recognizes the importance of Service and Support Animals to individuals with disabilities and has adopted a policy to ensure that people with disabilities who require the use of service or support animals as a reasonable accommodation receive the benefit of the work, tasks, or therapeutic support performed by such animals. AAMU's service and support animal policy complies with all applicable Titles of Section 504 of the Rehabilitation Act of 1973, Americans with Disabilities Act (ADA) of 1990, U.S. Department of Housing and Urban Development (HUD), and Fair Housing Act (FHAct). As such, AAMU permits all individuals with disabilities, which include employees, students, and visitors who require service animals access to all facilities, university owned housing, transit vehicles, and programs held on the campus of AAMU; whereas, individuals with disabilities who require assistance/comfort/therapeutic animals are only permitted access in university owned housing provided certain conditions are met as outlined by Disability Services (DS).

The ADA and FHAct/Section 504 Definition of "Service and Support Animals"

The Department of Justice (DOJ) amendments to its regulations for Titles II and III of the Americans with Disabilities Act (ADA) limits the definition of a service animal to include **only dogs** that are individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability.

In addition to the provisions about service dogs, revised ADA regulations have a new, separate provision about **miniature horses** that have been individually trained to do work or perform tasks for people with disabilities. Miniature horses generally range in height from 24 inches to 34 inches measured to the shoulders and generally weigh between 70 to 100 pounds. The regulations set out four assessment factors to assist entities in determining whether miniature horses can be accommodated in their facility. The assessment factors are (1) whether the miniature horse is housebroken; (2) whether the miniature horse is under the owner's control; (3) whether the facility can accommodate the miniature horse's type, size, and weight; and (4) whether the miniature horse's presence will not compromise legitimate safety requirements necessary for safe operation of the facility.

Support animals, sometimes referred to as emotional support animals, therapy animals and/or companion animals, are **not** service animals under the ADA. This definition, however, does not limit AAMU's obligations to make reasonable accommodations for assistance under the FHAct or Section 504. In situations where the ADA and the FHAct/Section 504 apply simultaneously, AAMU **must** meet its obligations under both the

reasonable accommodation standard of the FHAct/ Section 504 and the service animal provisions of the ADA.

An assistance animal is not a pet. It is an animal that works, provides assistance, or performs tasks for the benefit of a person with a disability, or provides emotional support that alleviates one or more identified symptoms or effects of a person's disability. Assistance animals perform many disability-related functions, including but not limited to, guiding individuals who are blind or have low vision, alerting individuals who are deaf or hard of hearing to sounds, providing protection or rescue assistance, pulling a wheelchair, fetching items, alerting persons to impending seizures, or providing emotional support to persons with disabilities who have a disability-related need for such support. For purposes of reasonable accommodation requests, neither the FHAct nor Section 504 requires an assistance animal to be individually trained or certified. While dogs are the most common type of assistance animal, other animals such as miniature horses can also serve as assistance animals.

Registration and Management of Service and Support Animals

The Director of Disability Services (DSS) will determine if an animal meets the criteria of a service animal as defined by the ADA.

Registering a Service and Support Animal on Campus

- (1) The individual with a disability should contact the Office of Veterans Affairs and Disability Services (VADS) as soon as he or she is aware of plans to bring a service or support animal to campus.
- (2) To register a service or support animal on campus, the individual with a disability should complete the Service or Support Animal Registration Form and submit it to the Office of Veterans Affairs and Disability Services, which is located in Carver Complex South, Room 106.
- (3) When it is not obvious what service the animal provides, the student must provide from a certified clinician a letter which substantiates: (1) if the service or support animal is required because of a disability, and (2) what work or task the service or support animal has been trained to perform. The letter **must** be dated and on letterhead, then submitted to the Office of Veterans Affairs and Disability Services.

Management of a Service or Support Animal

- (1) The student or visitor (hereafter known as "handler") of the service or support animal **must** show proof that the animal has been vaccinated against rabies as required by the State of Alabama. It is further highly recommended by the State of Alabama that the animal has been vaccinated against distemper/adenovirus/parainfluenza/ parvovirus (DAPP).
- (2) The handler of the service or support animal **must** assume full responsibility and demonstrate full control of the animal at all times. The handler **must** maintain control of the animal through voice, signal, or other effective controls. If the animal

is not under the control or poses a risk to the health and/or safety of others, the handler may be asked to remove the animal.

- (3) Service animals **must** be harnessed, leashed, or tethered, unless these devices interfere with the service animal's work or the handler's disability prevents using these devices.
- (4) The handler **must** be in the presence of the service animal at all times.
- (5) The service animal **must** be clean and in good health.
- (6) The handler is responsible for cleaning and removing or arranging for the removal of the animal's waste. Feces **must** be disposed of properly. This includes University common areas and exterior property such as sidewalks and etc.
- (7) To the extent possible, the service animal should be unobtrusive to other students and the learning environment.

Conflicting Medical Conditions

Individuals with medical or psychological conditions affected by service or support animals should contact the Office of Veterans Affairs and Disabilities Services (VADS) if there is a health or safety concern about exposure to a service animal. The person reporting the concern will be asked to provide medical documentation to VADS and, sign a Release of Information Form to the Student Health and Wellness Center so that a determination may be made regarding a need for accommodation.

Student Health and Wellness Center

Except in emergency visits, the handler of a service animal **must** notify the staff in the Student Health and Wellness Center in advance of the presence of a service animal to ensure that patient safety is not compromised, as well the need to minimize the risk of exposing the service animal to infections and disease.

Harassing, Injuring or Causing the Death of a Service Animal

Effective August 1, 2016, it is the policy (Amendment 621 of the Constitution of Alabama of 1901, now appearing as Section 111.05 of the Official Recompilation of the Constitution of Alabama of 1901) of the State of Alabama to recognize the special role and value of service dogs, not only in the lives of those persons who use them, but also in society at large and, to encourage the use of service dogs by persons with disabilities, and to recognize that those persons have a right to use service dogs without any interference with or injury to the service dog.

As such, it is unlawful in the State of Alabama and, considered a Class A, B, or C misdemeanor for a person who has received notice and found guilty of his or her behavior as harassing with malice or reckless disregard, and/or caused injury or death to a service dog without legal justification.

In such, reports filed with the Office of Public Safety against individuals on the campus of Alabama A&M University will be handled in accordance with the Student Code of Conduct and applicable laws of the State of Alabama.

Appeal/Grievance Procedure

If a student feels as though his/her request for an animal has been unreasonably denied, he or she may submit a written appeal to the DSS for reconsideration. All appeals/grievance will be reviewed by a Committee consisting of the Director of Health and Counseling Center, Director of Residential Life, Director of Physical Facilities, Chief of Public Safety, and an ADA student. The DSS and General Counsel will serve as the Chairs of the Committee, however, DSS nor General Counsel will serve as a voting member. The Committee will have the ability to require mediation or require the handler to remove the animal from the residence hall or campus if it is determined that the behavior, odor, or etc. of the animal is in violation of the AAMU's policy and procedures.

Policy: Approved by Board of Trustees June 24, 2016

VADS Service Animal Request Form

 Date

 Name of Residence Hall/Building

 Person Assisted By Animal

 Name of Handler (if not person with disability)

 Please Check Which Apply: Commuter Student Residential

 Type of Animal: Dog Miniature Horse Other

 If checked other, please specify

 Name of Animal

If it is not readily apparent that the animal qualifies as a service animal, please answer the following questions:

 Is this a service animal that is required because of a disability? Yes No

 What work or task has the service animal been trained to perform?

The following documentation has been attached:

 Proof of Current Licensure

 Proof of Current DAPP Vaccination

 Proof of Rabies Vaccination

 Other (Please specify) _____

I have read and understand Alabama A& M University's Service and Support Animal Policy. I agree to abide by the terms of the Policy. I fully understand that if my animal is out of control, not housebroken, presents a direct and immediate threat to others at AAMU, or fundamentally alters the nature of the service, program, or activity that cannot be eliminated by reasonable modifications, AAMU may ask or exclude my animal from its campus.

Furthermore, I (as handler) agree to assume full responsibility for any and all claims, actions, suits, judgments, and demands brought by any party, to include but not limited to university personnel, student or visitors arising on account of, or in connection with, any activity of or damage caused by my service animal while on the campus of Alabama A&M University.

 Owner's Signature

 Date

 Handler's Signature

 Date

VADS Use Only

Date Received _____

 Approved

 Denied

 Comments: _____

VADS Support Animal Request Form

Alabama Agricultural and Mechanical University (AAMU) recognizes the importance of Service and Support Animals to individuals with disabilities and, therefore, adopted a policy to comply with the Americans with Disabilities Act of 1990 (ADA), Section 504 of the Rehabilitation Act of 1973, U.S. Department of Housing and Urban Development (HUD), and the Fair Housing Act (FHAct). Therefore, in order to request accommodations for a support animal in one of AAMU's residence halls, the student must meet the definition of a person with a disability under the (ADA), and have documentation of your disability on file with the Office of Veterans Affairs and Disability Services (VADS). The student **must** submit the Support Animal Request Form, including the documentation verifying licensure (if applicable), proof of vaccinations for rabies (required) and DAPP (not required, but highly recommended), as well as any other pertinent documentation of your animal's current health condition. Additionally, the student must provide written documentation of the need for a support animal to the Director of Disability Services (DSS) by a qualified professional (i.e. physician, licensed counselor, psychiatrist, psychologist, or social worker, etc.) with whom the student has an established treatment history for the specific condition necessitating a support animal. This documentation **must** state that the support animal provides support in alleviating at least one of the effects or symptoms of the existing disability. Note: The treating medical professional may **not** be related to the student. Documentation should be mailed to: Director of Veterans Affairs and Disability Services, Carver Complex South, Room 106, Alabama A&M University, Normal, Alabama 35762; or emailed to sanoyia.williams@aamu.edu or faxed to 256-372-5243.

Please complete the following:

Name _____ Banner # _____

Check the semester and identify the academic year for which you are requesting a service animal: Fall [] Spring [] Summer [] Academic Year _____

Name of Residence Hall Assigned: _____

Name of Roommate/Suitemates (if applicable): _____

Type of Animal: _____ Breed: _____

Weight: _____ Size (Height/Length): _____ Sex: _____

Please describe the type of living environment this animal needs (i.e. humane conditions regarding size of space, temperature needs, interaction/exercise needs, etc.)

Please describe how you plan to meet the care needs of this animal in the residence hall environment given your academic and extracurricular schedule. Please remember you or the handler is solely responsible for the upkeep, including, feeding, watering, grooming, etc. of the support animal. AAMU will not permit other individuals to access the student's residential space for the purpose of animal care.

Completion of Application Steps

All steps must be completed for consideration. Initial and date the following steps as completed:

Initials	Date	Application Steps
_____	_____	Filed ADA documentation with VADS
_____	_____	Submitted medical documentation regarding the need for a support animal to VADS and the Student Health & Wellness Center.
_____	_____	Animal Records submitted to VADS, the Student Health & Wellness Center, and Residential Life.
_____	_____	Completed and submitted the VADS Support Animal Request Form
_____	_____	Obtained a signed agreement with all impacted roommates/suitemates to the presence of this animal, if approved.

I have read the entire VADS Service and Support Animal Policy and Student Code of Conduct and understand that I am bound by these policies at all times. I give my permission to the Director of Veterans Affairs and Disability Services, Director of the Student Health and Wellness Center, Public Safety, and my Residence Hall Director, or their designees to confirm all my information as reported with this application. I further understand that any inaccuracies in my application would be viewed as a direct violation of the Code of Conduct and is subject to referral to the Office of Judicial Affairs.

Signature of Student

Date

VADS Use Only
Date Received _____ [] Approved [] Denied Comments: _____

APPENDIX

Compliance

Civil Rights Knowledge and Review

Program Reviews of Parity

Federal Civil Rights laws require research faculty and staff to make all reasonable efforts to ensure that all people have equal opportunities for program participation. Compliance is measured by using parity. A research program is in parity when program participation by under-represented groups reflects their proportionate representation in the population of potential recipients. You may use the US Census Data or other reputable sources as your population comparator. For agriculture programs, the Census of Agriculture may be appropriate. **A program is considered "in compliance" when its participation has reached 80% of parity in each group.**

The Director of 1890 Research Programs is responsible for providing leadership, direction, and policy to ensure compliance with Title VI of the 1964 Civil Rights Act for CALNS' research and education programs. Any person(s) or firm(s) who feels that they have been discriminated against is encouraged to report such violations.



AAMU Office of Research Compliance

James O. Bukenya, Ph.D.
Director

Phone: 256-372-5729

research.compliance@aamu.edu

Race/Ethnicity Data Collection Requirements

What is REG Data and Why is it Important?

REG data stands for Race, Ethnicity, and Gender and can be an important data point in ensuring we're reaching diverse audiences that represent the demographic makeup of the communities we serve.

As a land-grant institution, Alabama A&M University's College of Agricultural, Life and Natural Sciences (CALNS) has the responsibility of ensuring that our programming reaches diverse audiences. Ideally, our educational reach would realize parity, meaning the audiences represented in our educational programs would be relatively equal to the demographics represented in our communities.

How to Collect REG Data

There are a variety of ways we can collect REG data. In face-to-face programs, collect REG data upon participant registration or be prepared to hand out a REG data collection survey during your event. In online programming or other methods of digital engagement (like an e-newsletter), collect REG data by incorporating appropriate questions into your registration or subscription materials.

Data must be collected in a three-part question:

1. **Race (may select more than one)**
 - American Indian or Alaskan Native
 - Asian
 - Black or African American
 - Native Hawaiian or Other Pacific Islander
 - White
2. **Ethnicity**
 - Hispanic or Latino
 - Not Hispanic or Latino
3. **Gender**
 - Female
 - Male
 - Prefer not to answer

How to collect racial and ethnic data if:

- An applicant chooses not to voluntarily provide the information in person?
- The application process uses an online application and the applicant does not voluntarily provide the information?

It is never okay to assume the REG data of program participants. While it's important to make every reasonable effort to collect REG data, if you cannot collect this information from program participants, then it's okay to put "unspecified" in your reporting systems.

Data collection is mandatory.

As a recipient of federal financial assistance, AAMU CALNS must maintain a system to collect racial and ethnic data in accordance with Federal policy.

REG data is used to:

- Determine how effectively CALNS programs are reaching potentially eligible people,
- Identify areas where additional outreach is needed,
- Assist in the selection of locations for compliance reviews, and
- Complete reports as required.

Children are not to be surveyed.

- Questions must be posed to parents/legal guardians.

If disparities or incidents of underrepresentation exist, it will be necessary to investigate the causes.

If necessary, take action to ensure equal opportunity to participate in the program.

Filing a complaint directly with USDA

A complainant may file a complaint directly with the US Department of Agriculture's National Institute of Food and Agriculture Office of Equal Opportunity and Civil Rights by completing a Form AD-3027, USDA Program Discrimination Complaint Form, which can be obtained online at

<https://www.ocio.usda.gov/document/ad-3027>, from any USDA office, by calling (866) 632-9992, or by writing a letter addressed to U.S. Department of Agriculture Office of the Assistant Secretary for Civil Rights 1400 Independence Avenue, SW Washington, D.C. 20250-9410; or (2) Fax: (833) 256-1665 or (202) 690-7442; or (3) Email: program.intake@usda.gov.

Compliance

Civil Rights Knowledge and Review

All Reasonable Efforts

Affirmative Action refers to creative actions or steps taken to accomplish compliance with the intent of the Civil Rights Act. As AAMU employee, you must make all reasonable efforts to comply with civil rights regulations.

All Reasonable Effort activities are required efforts you need to use when programming with members of one race who function in a multi-racial community. Some of the required steps in implementing All Reasonable Effort include:

- ✓ Determine by community, neighborhood, or minor civil division, the multi-racial communities in Alabama.
- ✓ Determine, by club or group name, program area groups functioning in these neighborhoods or communities.
- ✓ Determine from participation data if the club or group membership reflects the racial composition of the neighborhood or community.

The minimum **All Reasonable Effort** requirements for research staff members working with any identified clubs or groups whose membership is all one race, include the following items:

- Use all available mass media, including radio, newspaper, and television to inform potential recipients within local multi-racial communities of the program and of the opportunity to participate.
- Personal letters and flyers/publications addressed to potential recipients inviting them to participate, including dates and places of meetings or other planned activities.



AAMU Office of Research Compliance

James O. Bukenya, Ph.D.
Director

Phone: 256-372-5729

research.compliance@aamu.edu

Plan for Public Notification

Letting people know our research program is open and available to the public is called public notification. Public notification activities are the extra efforts you plan in order to advise minorities of program availability on a non-discriminatory basis, and usually consists of a series of various communication methods that advise the public about program availability.

Some of the basic "public notification" activities:

- AAMU research program outreach should use the most diversified possible communications to attract persons of all races, colors, religions, genders, and national origins to participate. Examples include: posters, flyers, minority organization bulletin board notices, and other public mailings.
- Prominently display the "And Justice for All" poster in all research offices and facilities where research programs are delivered.
- Provide information on research programs to grass roots organizations that relate to the Protected Class members via mail, personal visits, newsletters, phone calls, etc.
- Use the non-discriminatory statement in all news releases that announce research programs and/or explain how to participate.
- In research programs that may traditionally attract only males or only females, use words, phrases, or statements in the program announcements that clearly indicate that participation of both males and females are encouraged and appropriate.

Answers to the following questions will help gauge your program's public notification efforts:

- 1) Can you identify the locations where the "And Justice for All" poster is displayed in your building or unit?
- 2) Does the research nondiscrimination statement (i.e., "AAMU research is an equal opportunity provider and employer.") appear on all informational materials released by your Department to the public?

- 3) Have you documented any "extra efforts" to inform historically underserved audiences about research resources and meetings organized by you or by your Department?
- 4) Can you think of any minority organizations which are kept informed about new research programs provided by your Department and the methods by which they are informed?
- 5) Do any of the mailing lists used in your Department consist of exclusively one race color, religion, or sex?
- 6) Can you identify examples of non-discriminatory statements, photos/graphics used by your Department to convey the message of equal opportunity in informational materials released to the public.

Program Accessibility

The Americans with Disabilities Act of 1990, amended in 2008, prohibits the discrimination against qualified individuals with disabilities. The ADA Act requires reasonable accommodations in research programming and that programming occurs in accessible locations. An ADA checklist for Existing Facilities is available through the ADA National Network.

1. Is the following, or a similar statement, on all newsletters, brochures, and program announcements?
"AAMU Research is committed to making its services, activities, and programs accessible to all participants. If you have special requirements due to a physical, vision or hearing disability, please contact [Program leader's name and telephone number]."
2. Do you know of any accommodations made to serve disabled participants in your programs for the past 2 years?
3. Do you know of any programs held in a non-accessible location in the last 2 years?

Compliance

Civil Rights Knowledge and Review

Title VI Policy Statement

As a recipient of Federal funding, Alabama A&M University Research Experiment Station housed under the College of Agricultural, Life and Natural Sciences (CALNS) is required to comply with Title VI of the Civil Rights Act of 1964 as amended. Title VI of the Civil Rights Act of 1964 requires that no person in the United States, on the grounds of race, color, or national origin be excluded from, be denied the benefits of, or be subjected to discrimination, under any program or activity receiving federal financial assistance. Presidential Executive Order 12898 addresses environmental justice in minority and low-income populations. Presidential Executive Order 131166 addresses services to those individuals with Limited English Proficiency (LEP). The rights of women, the elderly, and disabled are protected under related statutes. These Presidential Executive Orders and the related statutes fall under the umbrella of Title VI.

CALNS will take positive and realistic affirmative steps to ensure that all persons and/or groups wishing to participate in its programs are given an equal and equitable chance to participate. CALNS sub-recipients and contractors are required to prevent discrimination and ensure nondiscrimination in all of their programs, activities, & services.



AAMU Office of Research Compliance

James O. Bukenya, Ph.D.
Director

Phone: 256-372-5729

research.compliance@aamu.edu

CALNS Title VI Complaint Procedure

1. Any person who believes that they have been subject to discrimination may file a written complaint with the CALNS 1890 Research Director's office. Federal and State law requires complaints be filed within one-hundred eighty (180) calendar days of the last alleged incident.
2. The complainant may fill out the complaint form [online](#) or request the complaint form from the CALNS 1890 Research Director's Office. The complainant may also submit a written statement that contains all of the information identified in Section 3 (a) through (g) below.
3. **The complaint will include the following information:**
 - a) Name, address, and telephone number of the complainant.
 - b) The basis of the complaint; i.e., race, color, national origin, sex, elderly or disabled.
 - c) The date or dates on which the alleged discriminatory event occurred.
 - d) The nature of the incident that led the complainant to feel discrimination was a factor.
 - e) Name, address, and telephone number of persons who may have knowledge of the event.
 - f) Other agencies or courts where complaint may have been filed and a contact name.
 - g) Complainant's signature and date.
4. If the complainant is unable to write a complaint/upload, the CALNS staff will assist the complainant. If requested by complainant, CALNS will provide a language or sign interpreter. The complaint may be sent or faxed to the following address:

Dean/1890 Research Director
Alabama A&M University
College of Agricultural, Life and Natural Sciences (CALNS)
300A Dawson Building
Normal, AL 35762
256.372.4166 (office)
256.372.8645 (fax)
research.compliance@aamu.edu
5. CALNS will contact the complainant in writing no later than thirty (30) working days after receipt of complaint of additional information, if needed to investigate the complaint. If the complainant fails to provide the requested information in a timely basis, CALNS will administratively close the complaint.
6. CALNS will complete the investigation within ninety (90) days of receipt of the complaint. A written investigation report will be prepared by the investigator(s). The report shall include a summary description of the incident, findings, and recommendations for disposition.
7. The 1890 Research Director will review the report. A closing letter and exit interview will be provided to the complainant. The respondent will also receive a copy of the closing letter. Each will have five (5) working days from receipt of the report to respond. If either party responds negatively or has additional information to provide, an informal meeting will be arranged by the Director of 1890 Research Programs. If neither party responds, the complaint will be closed.
8. The investigation report with recommendations and correction actions taken will be forwarded to the appropriate University office, state or federal agency, the complainant, and respondent.
9. CALNS will advise complainants of their appeal rights to the appropriate office or federal agency.

Filing a complaint directly with USDA

A complainant may file a complaint directly with the US Department of Agriculture's National Institute of Food and Agriculture Office of Equal Opportunity and Civil Rights by completing a Form AD-3027, USDA Program Discrimination Complaint Form, which can be obtained online at <https://www.ocio.usda.gov/document/ad-3027>, from any USDA office, by calling (866) 632-9992, or by writing a letter addressed to U.S. Department of Agriculture Office of the Assistant Secretary for Civil Rights 1400 Independence Avenue, SW Washington, D.C. 20250-9410; or (2) Fax: (833) 256-1665 or (202) 690-7442; or (3) Email: program.intake@usda.gov.

Compliance

Civil Rights Knowledge and Review

Program Reviews of Parity

Federal Civil Rights laws require research faculty and staff to make all reasonable efforts to ensure that all people have equal opportunities for program participation. Compliance is measured by using parity. A research program is in parity when program participation by under-represented groups reflects their proportionate representation in the population of potential recipients. You may use the US Census Data or other reputable sources as your population comparator. For agriculture programs, the Census of Agriculture may be appropriate. **A program is considered "in compliance" when its participation has reached 80% of parity in each group.**

The Director of 1890 Research Programs is responsible for providing leadership, direction, and policy to ensure compliance with Title VI of the 1964 Civil Rights Act for the CALNS' research and education programs. Any person(s) or firm(s) who feels that they have been discriminated against is encouraged to report such violations.



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Language Access for Limited English Proficiency Persons

On August 11, 2000, the President signed Executive Order 13166, "Improving Access to Services for Persons with Limited English Proficiency." The Executive Order requires Federal agencies to examine the services they provide, identify any need for services to those with limited English proficiency (LEP), and develop and implement a system to provide those services so LEP persons can have meaningful access to them. It is expected that agency plans will provide for such meaningful access consistent with, and without unduly burdening, the fundamental mission of the agency.

Alabama A&M University's College of Agricultural, Life and Natural Sciences is a recipient of USDA federal funding and therefore is obligated to take reasonable steps to ensure that those with Limited English Proficiency have meaningful access to the programs, services and information provided by our programs. The U.S. Census estimates that Foreign-Born Population in Alabama is 162,248 (3.6%) with an estimated LEP share of 45.6%, while the U.S. Born Population in Alabama is 4,414,409 with an LEP share of 0.5%. According to this data, approximately 96,057 individuals or 2% of the Alabama population, both foreign and U.S. born, are considered Limited English Proficient. Persons who, as a result of national origin, do not speak English as their primary language and who have limited ability to speak, read, write, or understand English may be entitled to language assistance under Title VI to receive a particular service, benefit, or encounter.

AAMU CALNS Guidelines

Limited English proficiency may limit participation in AAMU CALNS' research programs. Reasonable efforts will be made in identifying LEP persons who require language assistance. The following four-factor analysis will serve as the guide for determining which language assistance measures CALNS will undertake to guarantee access to its research programs by LEP persons:

- The number or proportion of LEP persons eligible to be served or likely to be encountered by the program or grantee/recipient,
- The frequency with which LEP individuals come into contact with the program,
- The nature and importance of the program, activity, or service provided by the program to people's lives,
- The resources available to the recipient and costs.

AAMU CALNS LEP Policy

Alabama A&M University's College of Agricultural, Life and Natural Sciences (CALNS) will take reasonable steps to ensure that persons with LEP have meaningful access and an equal opportunity to participate in our services, activities, programs and other benefits. The policy of Alabama A&M University is to ensure meaningful communication with persons who experience LEP and their authorized representatives, as well as providing for communication of information contained in vital documents. CALNS will provide all interpreters, translators, and other aids needed to comply with this policy without cost to persons accessing services.

CALNS will provide language assistance with competent bilingual staff, contracts or formal arrangements with organizations providing interpretation or translation services, or technology and telephonic interpretation services.

- For Language Interpretive and Document Translation Services CALNS has contracted with ALAMEX Translation Services, LLC to provide oral and written translation services.

If not immediately identifiable, a language identification card will be used to identify the language for interpretation. For assistance, call the contracted service provider, Alamex LLC.



Detailed LEP guidance can be found at:
<https://nifa.usda.gov/resource/limited-english-proficiency> and
https://www.lep.gov/guidance/guidance_Fed_Guidance.html#USDA