

## VI. ADMINISTRATIVE PROCESSES

### 6.1 Organization and Administration

#### Introduction

#### Organizational Structure

Dalton State College (DSC) is one of the 34 institutions of the University System of Georgia (USG). The USG Board of Regents is a constitutional body that governs the University System of Georgia. The USG Chancellor reports to the Board of Regents; the Regents, in turn, rely upon the Chancellor, the institutional administrators, and the faculties of the System “to develop, to adapt, and [to] administer the academic methods and procedures deemed by them to be most effective in promoting efficiency of operations and most appropriate to the advancement of learning” (*Policy Manual of the Board of Regents of the University System of Georgia*, Section 301). The DSC President, who reports to the Chancellor, is the College’s chief executive officer and administers the affairs of the College through the Vice President for Academic Affairs, the Vice President for Enrollment Services, the Vice President for Student Affairs, and the Vice President for Fiscal Affairs as outlined in the Dalton State College Organizational Chart (*Dalton State College Statutes*, Appendix I). The *Dalton State College Statutes* define the duties of the President and those of major administrative officials.

The College effectively allocates its resources through a variety of means; however, overall responsibility for linking planning and budgeting resides with the President, who carries out this responsibility in part with the advice and guidance of the Strategic Planning Committee. According to the *USG Board of Regents Policy Manual*, the President is responsible to the Chancellor for all operations and for the management of the institution (Section 204). Moreover, the *Board of Regents Policy Manual* states that “each institution will have a strategic planning process which results in a strategic plan by which institutional priorities will be defined and achieved” (Section 205). In keeping with such directives, Dalton State College does have a Strategic Planning Committee that the President convenes regularly to set goals for the College and to determine both short- and long-range plans for reaching those goals. The Strategic Planning Committee is made up of the Administrative Council, the Academic Council, the Student Affairs Council, two representatives from the classified staff, faculty representation from among the College’s standing committees, and two representatives from the Dalton State College Foundation. The Director of Institutional Research and Planning serves as an *ex officio* member of the committee (*DSC Statutes*, Article VI. B. 15, p. 39). The President also meets with the Administrative Council, which is made up of the President and all vice presidents (*DSC Statutes*, Article VI, Section A.1, p. 24), to allocate and to redirect any funds necessary for the growth of the College and to place the College’s resources in position to accomplish the annual Strategic Planning Committee implementation plans (*DSC Statutes*, Article II, pp. 3-4). Annually,

the Strategic Planning Committee determines which goals have been met and whether new goals are necessary (*Dalton State College Strategic Plan, 2000-2003*, p. 13) (Interview with the President, 4/13/01). Section 6.3.1 of this report contains a full analysis of this process.

The Board of Regents provides an annual budget allocation for the College's operation. Once DSC receives its budget allocation document, the Vice President for Fiscal Affairs refines the budget in concert with the President and the other vice presidents to meet the goals of the College and to further its growth. The administrative officers consider unit budget requests and functional needs as they develop the budget. The USG Board of Regents must then approve the institution's proposed budget before it becomes official. The College administration uses appropriate budget management practices to ensure flexibility in accommodating unforeseen expenditures (See Section 6.3 of this report).

Faculty members are involved in administrative decisions and planning for the College in several ways. The Vice President for Academic Affairs chairs the Academic Council, which consists of three vice presidents; the Library Director; the division chairpersons; the Coordinator of Developmental Studies; the Department Chairperson of Physical Education; two faculty members nominated by the Committee on Committees and elected by the faculty; and two students, the President of the Student Body and one at-large appointee. This council serves as a point of access for the faculty in academic matters (*Dalton State College Statutes*, Article VI, Section A.2, p. 24). Faculty members also have significant opportunity for discussion of academic and administrative concerns with colleagues through division meetings and faculty meetings. The Strategic Planning Committee, described above, serves as additional broad-based support for faculty members from all disciplines. As part of the strategic-planning process, faculty members and administrative staff cooperate to develop implementation plans for assigned specific College-improvement goals.

Students participate in governance through the Student Government Association (SGA), whose President appoints students, with the approval of the Student Council, to serve on various College standing committees (*Dalton State College 2000-2001 Catalog and Student Handbook*, "The Constitution of the Student Body of Dalton State College," p.63). The SGA also administers the expenditures of student activity fee allocations. The SGA sets up a yearly budget for all student clubs and organizations (Student Government Association Budget, 1999, 2000, 2001), and the Student Affairs Council approves all other expenditures (Student Affairs Council minutes, 1999-2001). These allocations consist of monies for all fine arts and lecture events as well as for student-life activities, such as concerts and other performances, intramural and extramural sports, field trips, and the annual graduation reception. Officers of the Student Government Association attend the annual meeting of the Association for Promotion of Campus Activities to determine which student-life events to bring to campus (Interview with Student Activities Director, April 1, 2002).

### Presentation of Findings

#### 6.1 (1 of 1) Administrative Responsibility

The *Policy Manual of the Board of Regents* (Sections 201, 202, and 301) and the *Dalton State College Statutes* (Articles II, III, and IV, pp. 3-12) establish the responsibility for the administration of the College. The *Dalton State College 2000-2003 Strategic Plan*, the Board of Regents' Budget Annual Allocation Document, the Fiscal Year 2001-2002 Budget, and internal and external audit reports provide evidence that the administration, through the Administrative and Academic Councils, allocates resources effectively to accomplish institutional goals as stated in the *Dalton State College Strategic Plan, 2000-2003* (Dalton State College Strategic Planning Committee Minutes, 1999-2000).

According to the "Dalton State College Faculty Survey, 2000," 82 percent of faculty members responded that they were satisfied that the administration is effective in gathering and allocating resources to accomplish institutional goals, and 75 percent of the faculty agreed that the DSC administrative organization is effective in supporting the goals of the College (See Table 6.1.1 below).

**Table 6.1.1**  
**Faculty Satisfaction with Administrative Services**

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Don't Know/ No Opinion</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
25. In general, the DSC administrative organization is consistent with and supportive of the institutional mission.	15 22%	50 73%	1 1%	3 4%	0 0%
26. On the whole, the DSC administration is effective in gathering and allocating resources to accomplish institutional goals.	17 25%	39 57%	10 14%	3 4%	0 0%
27. In general, the DSC administrative organization is effective in supporting the various College units to accomplish their goals.	14 20%	38 55%	11 16%	5 7%	1 1%

"Dalton State College Faculty Survey 2000 Results," p. 6

**Conclusion:**

The College is in compliance with the *SACS Criteria*, Section 6.1.

**Recommendations/Suggestions/Proposals:**

**Recommendations/Suggestions:**

None.

**Proposal:**

**6.1 (1 of 1).**

The Committee proposes that the Administrative Council appoint a secretary to keep the minutes of the Administrative Council meetings and to make these minutes available to the campus community.

**Must Statement Compliance Table  
6.1 Organization and Administration**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.1 (1 of 1).</b> The administration of an institution of higher education <b>has the responsibility</b> for bringing together its various resources and allocating them effectively to accomplish institutional goals.</p>	<p>Compliance</p>	<p><i>USG Board of Regents Policy Manual</i>, Sections 201, 202, 204, 301, and 906, &lt;<a href="http://www.usg.edu/admin/policy">http://www.usg.edu/admin/policy</a>&gt;</p> <p><i>DSC 2000-2001 Catalog and Student Handbook</i>, “The Constitution of the Student Body of Dalton State College,” p. 63, &lt;<a href="http://www.daltonstate.edu/catalog/00-01/catpdf0.htm">http://www.daltonstate.edu/catalog/00-01/catpdf0.htm</a> &gt;</p> <p>Dalton State College Organizational Chart, <i>Dalton State College Statutes</i>, Appendix I</p> <p>Interview with the President, 4/13/01</p> <p><i>Dalton State College Statutes</i>, Articles II, III, and IV, pp. 3-12; Article VI, Section A.2, p. 24; Article IV, Section B. 15, p. 39</p>

Must Statement	Compliance Statement	Supporting Documentation
		<p><i>Dalton State College Strategic Plan 2000-2003</i>, p. 13                      &lt;<a href="http://www.daltonstate.edu/irp/plan/stratplan00-03.pdf">http://www.daltonstate.edu/irp/plan/stratplan00-03.pdf</a>&gt;)</p> <p>Interview with Vice President for Fiscal Affairs, 4/12/01</p> <p>“Dalton State College Faculty Survey 2000,” p. 6, questions 25-28 &lt;<a href="http://www.daltonstate.edu/irp/pdf/9900pdfs/facsursum00.pdf">http://www.daltonstate.edu/irp/pdf/9900pdfs/facsursum00.pdf</a>&gt;</p> <p>Student Government Association Budgets, 1998-2002</p> <p>Interview with Student Activities Director, 4/1/02</p> <p>Student Affairs Council Minutes, 1999-2002</p> <p>Board of Regents’ Budget Allocation Document, FY 2001-2002</p> <p>Audit Reports, 2001, State of Georgia Department of Audits and Accounts</p> <p>Dalton State College Strategic Planning Committee Minutes, 1998-2000</p>

**6.1.1 Descriptive Titles and Terms**

The Board of Regents of the University System of Georgia (USG) chartered Dalton State College as Dalton Junior College in July 1963. In the Fall Quarter of 1967, Dalton Junior College opened to 524 students as the 24th institution of the USG. In 1976, a Technical Division was authorized through a joint agreement between the USG and the State Department of Education. In 1987, the word *Junior* was dropped from the institution’s name as part of a USG initiative affecting most of the state’s two-year schools. In 1996, Dalton College was

authorized to assume responsibility for the Dalton School of Health Occupations, previously administered as a stand-alone entity of the State Department of Technical and Adult Education. A SACS substantive change procedure was completed that same year. In September of 1998, the Board of Regents granted approval for the institution to offer three bachelor's programs: the Bachelor of Science in Industrial Operations Management; the Bachelor of Science in Management Information Systems; and the Bachelor of Applied Science in Technology Management. As a result of the College's movement to Level II status, the Board of Regents approved a name change to *Dalton State College*. Following the "SACS Substantive Change Report, 2000," the College received SACS approval for its first three bachelor's degrees and affirmation to continue offering four-year degrees. During the fall of 2001, the University System approved two more bachelor's degrees, the Bachelor of Social Work and the Bachelor of Marketing Systems. And in the spring of 2002, DSC added the Bachelor of Business Administration in Management degree to its list of baccalaureate offerings.

As a result of the College's status change, The USG Board of Regents authorized DSC to change the titles of its officers of general administration from Academic Dean to Vice President for Academic Affairs; from Registrar and Director of Admissions to Vice President for Enrollment Services; from Dean of Students to Vice President for Student Affairs; and from Comptroller to Vice President for Fiscal Affairs.

### **Presentation of Findings**

**6.1.1 (1 of 1)  
Accurate  
and  
Appropriate  
Descriptions**

The name *Dalton State College* is an appropriate descriptor for the institution. The College belongs, with Macon State College, to a category of institutions that is authorized by the Board of Regents to offer a limited number of baccalaureate degree programs to meet identified workforce needs at that level in addition to comprehensive associate degree programs. The administrative titles of DSC are President, Vice President for Academic Affairs, Vice President for Enrollment Services, Vice President for Student Affairs, and Vice President for Fiscal Affairs. These titles match the designations in the College's Organizational Chart and are consistent with titles in the USG structure. The *Dalton State College Statutes* (Article I, Sections A-B, pp. 1-2) and the *University System of Georgia Board of Regents Policy Manual* (Sections 210 and 300) describe the titles and duties of the President and the administrators who report directly to the President. The titles of all academic division and department chairpersons and those of the directors of all service and support units are appropriate to their duties and responsibilities. All degree and certificate programs are accurately, appropriately and descriptively named, as indicated in the College catalog (*DSC 2001-2002 Catalog and Student Handbook*, pp. 231-317).

### **Conclusion:**

The College is in compliance with the *SACS Criteria*, Section 6.1.1.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table  
6.1.1 Descriptive Titles and Terms**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.1.1 (1 of 1).</b> The name of an institution, the titles of chief administrators, the designations of administrative and academic divisions, the terms used to describe academic offerings and programs, and the names of degrees awarded <b>must</b> be accurate, descriptive, and appropriate.</p>	<p>Compliance</p>	<p><i>DSC 2001-2002 Catalog and Student Handbook</i>, pp. 231-317, &lt;<a href="http://www.daltonstate.edu/catalog/01-02/catpdf0102.htm">http://www.daltonstate.edu/catalog/01-02/catpdf0102.htm</a>&gt;</p> <p><i>SACS 2000 Substantive Change Report</i>, Dalton State College</p> <p><i>Dalton State College Statutes</i>, Article I, Sections A-B, pp. 1- 2</p> <p><i>Board of Regents of the University System of Georgia Policy Manual</i>, Sections 210, 300, &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;</p>

**6.1.2 Governing Board**

**Presentation of Findings**

**6.1.2 (1 of 10)  
Institutional  
Responsibility**

The Board of Regents of the University System of Georgia (USG) governs Dalton State College. The *Constitution of the State of Georgia* (Article VIII, section IV, paragraphs I. a. and I. b.) describes the formation and authority of the University USG Board of Regents <<http://www.cviog.uga.edu/Projects/gainfo/conart8.htm>>. And the *Bylaws of the Board of Regents* describe the source and extent of Board of Regents authority:

The government, control, and management of the University System of Georgia and each of its institutions is vested by the People of Georgia exclusively with the Board of Regents of the University System of Georgia. The Board of Regents possesses such other authority as is granted by the *Constitution of the State of Georgia* and by acts of the

General Assembly. (*Bylaws of the Board of Regents*, Sec. I.2, “Charter and Constitutional Authority” <<http://www.usg.edu/admin/humex/bylaws/>>).

**6.1.2 (2 of 10) Military Institution/Public Board**

Dalton State College is not a military institution.

**6.1.2 (3 of 10) Board Decision-Making**

According to the *Bylaws of the Board of Regents*, Section III.4, “Quorum,” no official action may be taken by the Board of Regents unless a quorum is present. The section entitled “Quorum,” defines the decision-making process, describing how the Board of Regents must make decisions:

At all meetings of the Board of Regents a majority of the members of the Board shall constitute a quorum for the transaction of business. The action of a majority of the members of the Board present at any meeting shall be the action of the Board, except as may be otherwise provided by these Bylaws.

Also, Section V.2 of the *Bylaws* states that, “Although no individual Board member has the authority to commit the Board to a particular action, a member of the Board may propose any action at any time, subject to the procedural rules listed in Article III.5 of these Bylaws.”

**6.1.2 (4 of 10) Duties and Responsibilities**

The *Bylaws of the Board of Regents*, Section V.1 and the *Constitution of the State of Georgia*, Article III, Section IV, define the duties and responsibilities of the Board of Regents. The Board of Regents is responsible for the operation of the University System of Georgia. The committees of the Board are responsible for review of policy matters in the areas of jurisdiction assigned to them and must advise the Board as to what, if any, changes of policy should be made. The Board of Regents also appoints a Chancellor to carry out the policies of the Board, to plan for future colleges and universities, to hire and remove University System presidents, to approve new degree programs, to terminate programs, to prepare the legislative budget requests, to establish student fees, to maintain a personnel program, and to fulfill other responsibilities related to the growth and development of the University System of Georgia (*Bylaws of the Board of Regents*, Section V, “Duties of the Board and Its Committees,” Article V.1, “In General”).

**6.1.2 (5 of 10) Board Composition and Organization**

The *Bylaws of the Board of Regents* (Section I “General,” Article I.3, “Membership”) clearly specify the number of members, length of service, rotation policies, organization, and committee structure. The Board consists of one member from each congressional district and five additional members from the state at large. The Governor of Georgia recommends these appointments, and they must be confirmed by the State legislature. Each member serves for seven years, and, in the event of a vacancy for any reason, the Governor will fill the vacancy by appointing a new member. The appointee will serve until being confirmed by the State Senate and, upon confirmation, will serve for the



unexpired term of office. The *Bylaws of the Board of Regents* specify that the Board shall meet monthly, unless otherwise determined by the Board (Section III, Article III.1). The officers of the Board of Regents consist of the Chairperson, the Vice Chairperson, the Secretary to the Board, and the Treasurer (*Bylaws of the Board of Regents*, Section IV.1, “Officers”). Duties of each officer are defined in Section IV of the *Bylaws of the Board of Regents*. The Board of Regents is organized with both standing and special committees, which report to the Chairperson. The standing committees of the Board include the Executive Committee, the Strategic Planning Committee, the Committee on Real Estate, the Committee on Education, the Committee on Finance, the Committee on Organization and Law, and the Audit Committee. The Chairperson may authorize special committees when needed. Standing committees meet monthly (*Bylaws of the Board of Regents*, Section V.1, “In General”).

**6.1.2  
(6 of 10)  
Terms of  
Office and  
Dismissal;  
Required  
Functions**

The *Bylaws of the Board of Regents*, Section I.3 “Membership,” provide for Board membership, length of terms, and removal for cause by the Board. Board members serve 7 years with staggered terms until their successors are appointed and qualified (*Bylaws of the Board of Regents*, Section I.4, “Attendance”). The *Bylaws of the Board of Regents* state that Board members have a duty to attend the meetings of the Board of Regents. To ensure continuity of membership, the Board may vacate a member’s office if the member fails to furnish a written excuse to the Board for absence at two consecutive meetings. If a member fails to attend three successive meetings without cause, that office shall be declared vacant. However, the Executive and Compensation Committee of the Board meets with any member who fails to attend meetings to discuss the problem before the seat is considered vacant (*Bylaws of the Board of Regents*, Section I.4, “Attendance”). If a member cannot fulfill the attendance requirement, the Board’s secretary notifies the Governor of the vacancy, and the Governor can appoint a new member to fill it.

**6.1.2 (7 of  
10)  
Required  
Functions**

Responsibilities of the Board of Regents include establishing broad institutional policy, securing financial resources to support institutional goals, and selecting the president of each institution. The *Constitution of the State of Georgia*, Article VIII, Section IV, Paragraph 1.b. and c., establishes the Board of Regents as the body that governs and manages the University System of Georgia, including each institution within the System. Section V.1. of the *Bylaws of the Board of Regents* and Section 102 of the *Board of Regents Policy Manual* delineate the respective responsibilities of the Board, of the Committees of the Board, and of the Chancellor in the formulation and implementation of Board of Regents’ policies. The Board of Regents is the only medium through which formal requests can be made for appropriations from the General Assembly and the Governor, as stated in the *Constitution*, Article VIII, Section IV, Paragraph 1.c and the *Bylaws of the Board of Regents*, Section VII. Further details of the Board of Regents’ financial responsibilities are found in the *Board of Regents Policy Manual*, Section 700.

When a vacancy among the System's presidents occurs, the Chancellor, with the consent of the Board of Regents, initiates a presidential search. A special Regents' Committee is appointed by the Chairperson of the Board, and a campus-based Presidential Search and Screen Committee is appointed by the Chancellor in consultation with the Board Chairperson and the Chairperson of the Special Regents' Committee. The *Board of Regents Policy Manual*, Sections 201 and 202, describes these procedures in detail.

**6.1.2 (8 of 10)  
Board  
Informed of  
Financial  
Condition and  
Stability of the  
Institution**

The Board of Regents is the primary source of state appropriations for USG institutions (*Board of Regents Policy Manual*, Section 701). Essential to the Board of Regents' financial role is the availability of adequate information about the financial stability of the member institutions. To ensure the availability of this information, each institution is required to prepare and to submit to the Board an operating budget (*Board of Regents Policy Manual*, Section 702.02). Amendments to this budget must be reported quarterly to the Vice Chancellor for Fiscal Affairs (*Board of Regents Policy Manual*, Section 702.03). The State Auditor is authorized to make an audit of all income and disbursements at each institution (*Board of Regents Policy Manual*, Section 710.01) and, if necessary, to provide for the establishment and support of an internal audit to assist the Board, the Chancellor, and the President in the discharge of their responsibilities (*Board of Regents Policy Manual*, Section 710.02).

**6.1.2 (9 of 10)  
No Undue  
Pressure**

Provisions in Section 1901 of the *Board of Regents Policy Manual* ensure protection of the Board of Regents against pressure from political, religious, or other external bodies. These provisions extend the same protection to the administrative officers of all institutions of the USG. As stated therein, "The Board of Regents is unalterably opposed to political interference or domination of any kind or character in the affairs of any institution in the University System of Georgia (Board of Regents Minutes, 1941-42, p. 88, quoted in the *Board of Regents Policy Manual*, Section 1901, p.1).

**6.1.2  
(10 of 10)  
Policy vs.  
Adminis-  
tration**

A clear distinction exists between the policymaking role of the Board of Regents and the role of the institution's administration and faculty to administer and implement these policies. The Board of Regents is responsible for the governance, control, and management of the University System of Georgia (*Bylaws of the Board of Regents*, Section I.2). As executive head of the institution, the President of Dalton State College is responsible to the Chancellor and the Board of Regents for the operation of the institution and for the execution of the policies of the Chancellor and Board of Regents (*Board of Regents Policy Manual*, Section 204). The President is required to supervise and direct the institution in order to promote its efficient operation (*Board of Regents Policy Manual*, Section 204). The president, the vice presidents, and the faculty of the institution are responsible for the development and administration of the academic methods and procedures that they deem to be most effective (*Board of Regents Policy Manual*, Section 301).

**Conclusion:**

Under the supervision and direction of the President, Dalton State College's administration and faculty are organized along the lines of, and operate according to, the policies set forth by the Board of Regents of the University System of Georgia. The College is in compliance with the *SACS Criteria*, Section 6.1.2.

**Recommendations/Suggestions/Proposals:**

None.

**Must-Statement Compliance Table  
6.1.2 Governing Board**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<b>6.1.2 (1 of 10).</b> Although titles and functions vary, the governing board is the legal body <b>responsible</b> for the institution and for policymaking.	Compliance	<i>Constitution of the State of Georgia</i> , Article VIII, Section IV, Paragraph I (a) and (b) < <a href="http://www.cviog.uga.edu/Projects/gainfo/conart8.htm">http://www.cviog.uga.edu/Projects/gainfo/conart8.htm</a> >  <i>Bylaws of the Board of Regents of the University System of Georgia</i> , Section I.2, < <a href="http://www.usg.edu/admin/humex/bylaws">http://www.usg.edu/admin/humex/bylaws</a> >
<b>6.1.2 (2 of 10).</b> A military institution authorized and operated by the federal government to award degrees and prohibited by authorizing legislation from having a board with ultimate legal authority <b>must</b> have a public board, which, in policy and practice, carries out the normal functions of a board as described in these criteria.	Not applicable	

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<b>6.1.2 (3 of 10).</b> Except under clearly defined circumstances, board action <b>must</b> result from a decision of the whole, and no individual member or committee can take official action for the board unless authorized to do so.	Compliance	<i>Bylaws of the Board of Regents</i> , Sections III.4 and V.2, < <a href="http://www.usg.edu/admin/humex/bylaws">http://www.usg.edu/admin/humex/bylaws</a> >
<b>6.1.2 (4 of 10).</b> The duties and responsibilities of the governing board <b>must</b> be clearly defined in an official document.	Compliance	<i>Bylaws of the Board of Regents</i> , Section V.1 < <a href="http://www.usg.edu/admin/humex/bylaws">http://www.usg.edu/admin/humex/bylaws</a> >
<b>6.1.2 (5 of 10).</b> This official document <b>must</b> also specify the following: the number of members, length of service, rotation policies, organization and committee structure, and frequency of meetings.	Compliance	<i>Bylaws of the Board of Regents</i> , Sections I.3, III.1 < <a href="http://www.usg.edu/admin/humex/bylaws">http://www.usg.edu/admin/humex/bylaws</a> >
<b>6.1.2 (6 of 10).</b> There <b>must</b> be appropriate continuity in the board membership, usually provided by staggered terms of adequate length. The document should include provisions governing the removal of a board member from office. A board member <b>may be</b> dismissed <b>only</b> for cause and by procedures including due process.	Compliance	<i>Bylaws of the Board of Regents</i> , Sections I.3, I.4, V.1, VII, < <a href="http://www.usg.edu/admin/humex/bylaws">http://www.usg.edu/admin/humex/bylaws</a> >

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.1.2 (7 of 10).</b> The responsibilities of the governing board <b>must</b> include the following functions: establishing broad institutional policies, securing financial resources to support adequately the institutional goals, and selecting the chief executive officer.</p>	Compliance	<p><i>Constitution of the State of Georgia</i>, Article VIII, Section IV, Paragraph 1. (b) and (c)  <a href="http://www.cviog.uga.edu/Projects/gainfo/conart8.htm">http://www.cviog.uga.edu/Projects/gainfo/conart8.htm</a>)</p> <p><i>Board of Regents Policy Manual</i>, Sections 102, 201, 202, and 700  <a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>)</p> <p><i>Bylaws of the Board of Regents</i>, Sections V.1 and VII  <a href="http://www.usg.edu/admin/humex/bylaws/">http://www.usg.edu/admin/humex/bylaws/</a>)</p>
<p><b>6.1.2 (8 of 10).</b> In addition, the governing board <b>must</b> have in place proper procedures to ensure that it is adequately informed about the financial condition and stability of the institution.</p>	Compliance	<p><i>Board of Regents Policy Manual</i>, Sections 701, 702.02, 702.03, 710.01, and 710.02  <a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>)</p>
<p><b>6.1.2 (9 of 10).</b> The board <b>must</b> not be subject to undue pressure from political, religious, or other external bodies. Furthermore, it should protect the administration from similar pressures.</p>	Compliance	<p><i>Board of Regents Policy Manual</i>, Section 1901  <a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>)</p>
<p><b>6.1.2 (10 of 10).</b> There <b>must</b> be a clear distinction, in writing and in practice, between the policymaking functions of the governing board and the responsibility of the administration and faculty to administer and to implement policy.</p>	Compliance	<p><i>Board of Regents Policy Manual</i>, Sections 204 and 301  <a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>)</p> <p><i>Bylaws of the Board of Regents</i>, Section I.2  <a href="http://www.usg.edu/admin/humex/bylaws/">http://www.usg.edu/admin/humex/bylaws/</a>)</p>

### 6.1.3 Advisory Groups

#### Presentation of Findings

#### 6.1.3 Role and Function

Several lay advisory committees exist at the divisional and program levels at Dalton State College (DSC), as well as one campus-wide group formed by the President: the Carpet Industry Advisory Committee. Lay advisory committees serve the following units and programs: Continuing Education; Nursing; Technical Division programs which include: Automotive Technology; Computer-Related Applications/Systems; Drafting and Design; Electronic Technology; Emergency Medical Services; Management/Marketing; Office Administration; Child Development; Surgical and Radiologic Technology; and Welding/Machine Shop/Plant Maintenance.

All committees are active and have written statements of purpose that define their roles and functions, as well as current membership rosters and recorded minutes. The individual divisions and programs for which the committees exist maintain copies of these documents. According to their statements of purpose, the committees provide advice and guidance to their respective programs and divisions, as well as to complement the mission of the College (Minutes, Lay Advisory Committees).

#### Conclusion:

Although the College has no general policies and procedures governing advisory committees, all function similarly in a standard guidance role. In addition, the committees act as valuable conduits through which the community can become familiar with and contribute expertise to Dalton State College. DSC is in compliance with *SACS criteria*, Section 6.1.3.

#### Recommendation/Suggestions/Proposals:

#### Recommendations:

None.

**6.1.3 (1 of 1).** *Whenever lay advisory committees are used by institutions, these committees should be active and their role and function defined.*

#### Suggestion:

The Committee suggests that Dalton State College establish formal, written guidelines to standardize the establishment, oversight, and function of advisory committees. These guidelines should include the Dalton State College Foundation's rules regarding fund-raising, which might be undertaken by some future committee.

**Proposals:**

None.

**6.1.4 Official Policies****Presentation of Findings**

Dalton State College (DSC) publishes numerous documents containing policy information:

- the *Dalton State College 2001-2002 Catalog and Student Handbook*, located at <<http://www.daltonstate.edu/catalog/01-02/catpdf0102.htm>>;
- the *Dalton State College Statutes*;
- the *DSC Faculty Handbook*, the *DSC Advisement Handbook*, and other information for faculty and staff of Dalton State College, located at <<http://www.daltonstate.edu/facinfo.htm>>;
- the *Classified Staff Handbook*.

**6.1.4 (1 of 1)  
Duties and  
Responsibilities**

The duties and responsibilities of the President, of the officers of general administration, of the division/department chairpersons, and of the faculty of DSC are delineated in the *Dalton State College Statutes*, the most recent edition of which was approved by the Board of Regents in May 2001. Article I of the *Dalton State College Statutes* describes the governance of the College (pp. 1-3), and Article II describes the President's duties (pp. 3-5). The proper sphere of the officers of general administration is detailed in Article III (pp. 5-10).

Responsibilities of the division chairpersons and library director are set forth in Article IV (pp.10-12). The responsibilities of the faculty are described in Article V (pp. 13-15), while the policies and procedures for part-time faculty are contained in the *DSC Part-Time Faculty Handbook*. *DSC Statutes*, Article VI delineates the councils and committees of the College (pp. 23-28), and miscellaneous provisions appear in Article VII (pp. 39-41). The Dalton State College Organizational Chart is appended to the *Dalton State College Statutes* (Appendix I). Separate handbooks for full-time and part-time faculty, as well as University System of Georgia handbooks, policy manuals, and policies, are available in both hard copy and on the DSC Web site <<http://www.daltonstate.edu/facinfo.htm>>.

**Institutional  
Organization**

The pattern of institutional organization at DSC can be found in the *Dalton State College Statutes* in Article I, Section C (pp. 2-3). The Organizational Chart appears as an addendum to the *Statutes*. The Organizational Chart clearly identifies each administrative position within the institution.

**Institutional  
Governance:  
Role of  
Faculty**

The role of the College's faculty in institutional governance is found in the *Dalton State College Statutes* in Article V, Sections C-F (p. 14), and in the *Dalton State College Faculty Handbook*, under the title "Councils and Committees." Faculty

members participate in institutional governance primarily through involvement on committees and approval of committee action. According to the *DSC Statutes*, Article V, Section E, “The Faculty may accept actions of a council or committee by approving the minutes of that council or committee or may remand specific matters to any council or committee for reconsideration in the light of faculty objections.”

**Issues  
Relating to  
Employment**

The *Dalton State College Faculty Handbook* (“Affirmative Action,” “Contract Renewal,” “Faculty Evaluation,” “Faculty Recruitment and Appointment,” “Pre- and Post-Tenure Review,” and “Tenure and Promotion” sections); the *Dalton State College Statutes*, Article V, Section J; and the *Policy Manual of the Board of Regents*, Sections 802-803, cover issues relating to terms and conditions of employment at DSC, including tenure, job security, and due process. Issues relating to part-time employment are covered in the *Dalton State College Part-Time Faculty Handbook*, under “Affirmative Action,” “Employment,” “Evaluation,” “Requirements,” and “Assignments sections.”

**Due Process**

Statements governing due process for the College’s faculty are contained in the *Dalton State College Statutes*, Article V, Section J.8, “Removal of Faculty Members,” (pp. 17-18). Due process makes provision for a Hearing Committee, which hears grievances of any tenured faculty member who is terminated or any non-tenured faculty member who is terminated before his contract expires. The Hearing Committee follows very specific guidelines as outlined under “Dismissal Procedures” Section V. J. 8 in the *DSC Statutes*.

**Other Policies**

Other policies and procedures that affect the faculty and other personnel of DSC are contained in division policies and handbooks. “Equal Opportunity,” “Affirmative Action,” and “Sexual Harassment” statements are discussed in the *Dalton State College Faculty Handbook*.

**Conclusion:**

Various publications adequately delineate the official policies of Dalton State College and are available both in hard copy and on the DSC Website: <<http://www.daltonstate.edu/facinfo.htm>>. The College is in compliance with the *SACS Criteria*, Section 6.1.4.

**Recommendations/Suggestions/Proposals:**

None.



**Must Statement Compliance Table**  
**6.1.4 Official Policies**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.1.4 (1 of 1).</b> The institution <b>must</b> publish official documents which contain, but are not limited to, the following information: the duties and responsibilities of administrative officers, the patterns of institutional organization, the role of the faculty in institutional governance, statements governing tenure or employment security, statements governing due process, and other institutional policies and procedures that affect the faculty and other personnel.</p>	<p>Compliance</p>	<p><i>Dalton State College 2001-2002 Catalog and Student Handbook</i>  <a href="http://www.daltonstate.edu/catalog/01-02/catpdf0102.htm"> &lt;http://www.daltonstate.edu/catalog/01-02/catpdf0102.htm&gt;</a></p> <p><i>Dalton State College Statutes</i> (May 2001)  Article I, pp. 1-3;  Article II, pp. 3-5;  Article III, p. 5;  Article IV, pp. 10-12;  Article V, pp. 13-15; 17-21  Article VI, pp.23-28;  Article VII, pp. 40-41</p> <p><i>Dalton State College Faculty Handbook, Dalton State College Advisement Handbook, and other faculty/staff information</i>  <a href="http://www.daltonstate.edu/facinfo.htm"> &lt;http://www.daltonstate.edu/facinfo.htm&gt;</a></p> <p><i>Dalton State College Classified Employees' Handbook</i></p> <p>Dalton State College web site:  <a href="http://www.daltonstate.edu/facinfo.htm"> &lt;http://www.daltonstate.edu/facinfo.htm&gt;</a></p> <p>DSC Organizational Chart, <i>Dalton State College Statutes</i>, Appendix I</p> <p><i>Board of Regents Policy Manual</i>, Sections 802-803,  <a href="http://www.usg.edu/admin/policy/"> &lt;http://www.usg.edu/admin/policy/&gt;</a></p> <p><i>Dalton State College Faculty Handbook</i>, Sections:  “Affirmative Action”  “Contract Renewal”  “Councils and Committees”  “Faculty Evaluation”</p>

Must Statement	Compliance Statement	Supporting Documentation
		<p>“Faculty Meetings”                      “Faculty Recruitment”                      “Legal Representation”                      “Pre- and Post-Tenure Review”                      “Sexual Harassment”                      “Tenure and Promotion”                      &lt;<a href="http://www.daltonstate.edu/hndbkpdf/full-time/02/ftndbk02.pdf">http://www.daltonstate.edu/hndbkpdf/full-time/02/ftndbk02.pdf</a>&gt;)</p> <p><i>Dalton State College Part-Time Faculty Handbook</i> Sections:                      “Affirmative Action”                      “Employment”                      “Evaluation”                      “Requirements”                      “Assignments”                      &lt;<a href="http://www.daltonstate.edu/hndbkpdf/part-time/02/pthndbk02.pdf">http://www.daltonstate.edu/hndbkpdf/part-time/02/pthndbk02.pdf</a>&gt;</p>

**6.1.5 Administrative Organization**

**Presentation of Findings**

**6.1.5 (1 of 6)  
 Purpose and  
 Philosophy,  
 Organization**

The Dalton State College Organizational Chart, appearing in the *Dalton State College Statutes* (Appendix I), graphically presents the institution’s major administrative units and demonstrates an administrative structure appropriate to the College’s principal function of “offering associate, certificate, and targeted baccalaureate programs of study and a wide variety of public service and continuing education activities” (*Dalton State College Statutes*, “Statement of Purpose,” Section B, pp. 1-2). The College acts as an “educational broker to meet the needs of business and industry and to provide opportunities for all persons within its service area to live self-fulfilling and productive lives” (*DSC Statutes*, “Statement of Purpose,” pp. 1-2). The *DSC Statutes*, Article I, determine the nature of the College’s administrative structure and the number and duties of administrative officers of the College. The Board of Regents of the University System elects the DSC President, who, in turn, appoints the administrative officers with Board of Regents approval (*Board of Regents Policy Manual*, Section 201 and *DSC Statutes*, Article II, p. 3.). The administrative organization is arranged to provide an effective structure for management of instruction, support services, fiscal affairs, and physical facilities necessary to carry out the institution’s purpose as stated in the *DSC Statutes*. The current organization consists of a president, four officers of general administration, chairpersons of six divisions and one department, and directors of various support areas (*DSC Statutes*, Article I, Section C, p. 3). The *DSC Statutes* fully describe the

administrators' duties and responsibilities, which enable the functional units for which the administrators are responsible to carry out the institution's stated purpose: to meet the educational needs of the community (*Dalton State College Statutes*, Article III, pp. 5-13).

**6.1.5 (2 of 6)  
Authority for  
Educational  
Offerings**

According to the College's "Statement of Purpose," Dalton State College is "authorized to offer a full range of technical programs in addition to the traditional pre-baccalaureate curricula and targeted baccalaureate offerings which meet workforce development needs of the Northwest Georgia area" (*DSC Statutes*, Article I. B., pp. 1-2). The College "shall offer the educational programs and shall confer the degrees and certificates which are authorized by the Board of Regents" in Sections 301 and 306 of the *University System of Georgia Board of Regents Policy Manual* (*Dalton State College Statutes*, Article I. D). The statement of purpose of Dalton State College and the administrative responsibility for educational offerings are clearly set forth in the *Dalton State College 2001-2002 Catalog and Student Handbook* (p. 11). The *DSC Statutes* address organization as well as the role of faculty in administrative decisions. The *Statutes* also clearly define the administrative responsibility and lines of authority for all educational offerings and functions (Article I, Section C, pp. 2-3).

**6.1.5 (3 of 6)  
Organizational  
Chart**

The Dalton State College Organizational Chart appears in the introduction to this report (page 16) and as an appendix in the *Dalton State College Statutes*. It clearly delineates the lines of responsibility and authority. Further explanation of the organizational structures of Dalton State College appears in *DSC Statutes*, Article I, Section C; Article III, Sections C and D; and Article IV, Sections A-C.

**6.1.5 (4 of 6)  
Clearly Defined  
Roles of  
Officers  
The President**

The President of Dalton State College, as is the case with all institutional presidents in the University System of Georgia (USG), is elected by the USG Board of Regents following a search and election procedure described in the *Board of Regents Policy Manual* (Sections 201 and 202). The President is the executive head of the institution and exercises such supervision and direction as is required to ensure the efficient operation of the institution. The President is responsible to the Chancellor of the University System of Georgia for the operation and management of the institution and for the execution of all directives of the Board of Regents. Through the Chancellor, the President of Dalton State College recommends to the Board of Regents the initial appointment of all faculty members and administrative employees of DSC, the salary of each, and all promotion and tenure awards. The President also has the authority to execute and deliver, on behalf of the Board of Regents, certain research agreements, service agreements, and reciprocal emergency law enforcement agreements affecting the institution. Duties of the President are stated in the *Dalton State College Statutes* (Section II, p. 3) and in Section 204 of the *Board of Regents Policy Manual*.

**Officers of  
General  
Administration**

The officers of general administration of DSC are subject to the President and serve the President as the operating officers of their respective areas of responsibility. DSC has four general administrative officers: Vice President for

Academic Affairs, Vice President for Enrollment Services, Vice President for Student Affairs, and Vice President for Fiscal Affairs. The *Dalton State College Statutes* (Article III, pp. 5-10) delineate these officers' duties.

The Vice President for Academic Affairs is the chief academic officer and supervises the areas of instruction, advisement, and academic support. The Vice President for Student Affairs is the chief student affairs officer and is primarily responsible for the jurisdiction of students beyond their academic classes, including testing and academic, career, and personal counseling. This officer also oversees activities to foster students' cultural and social development. The Vice President for Enrollment Services is the administrative officer responsible for all phases of admitting and registering students, administering the student financial aid programs, and maintaining official records of student achievement. The Vice President for Fiscal Affairs is the chief business officer of the College and is primarily responsible for planning, organizing, and administering the business affairs of the College, including all funds, securities, and physical properties.

In addition to the four officers of general administration, three other officers report directly to the President: the Director of Institutional Research and Planning, the Director of Institutional Advancement, and the Director of Public Relations. The Director of Institutional Research and Planning is responsible for "providing College-wide leadership and direction in the areas of strategic planning, institutional research, assessment, and effectiveness" and provides support for "institutional planning and policy decision-making by conducting research, providing analysis, and disseminating the data [. . .] gather[ed] on students, alumni, academic programs, faculty and staff, finances, and facilities." A job description for the Director of Institutional Research and Planning is also on file in the President's office. The Director of Institutional Advancement is responsible for coordinating College goals with alumni affairs and the Dalton State College Foundation, which supports the College by raising funds for scholarships, faculty development, construction, and other projects. The Director of Public Relations' responsibilities include the management of all advertising functions and the publication of campus news and events. Job descriptions for the Director of Institutional Advancement and for the Director of Public Relations are on file in the President's office.

**6.1.5 (5 of 6)  
Credentials of  
Administrative  
Officers**

Administrative officers at DSC possess credentials, professional experience, and/or demonstrated competence appropriate to their areas of responsibility. Credentials, résumés, and evaluations of all officers directly responsible to the President are on file in the Office of the President, as are the credentials for the DSC President as well.

**6.1.5 (6 of 6)  
Periodic  
Evaluation**

The Chancellor annually evaluates the President as required by the *Board of Regents Policy Manual* (Section 102) (*Dalton State College Statutes*, Article II, p. 4). The President annually evaluates the three directors who report to him or her. In accordance with the *Board of Regents Policy Manual* (Section 803.07), the

evaluation includes such items as surveys of the employees who report directly to each administrator (Administrator Evaluation Questionnaire) and a personal evaluation. These evaluations are kept in the Office of the President (Interview with Dalton State College President, March 15, 2001).

**Conclusion:**

The administrative organization of Dalton State College reflects the purpose and philosophy of the institution and is clearly identified in the Organizational Chart. All administrators possess the credentials and experience appropriate to their positions, and an effective procedure for the evaluation of each of these administrators is in place and is being systematically implemented. However, while the duties of the President and the Vice Presidents are clearly stated in the *Dalton State College Statutes*, the duties of the Directors of Public Relations, of Institutional Research and Planning, and of Institutional Advancement are not readily accessible to the faculty and staff of the College.

The College is in compliance with *SACS Criteria* 6.1.5 (1-3 of 6), and (5-6 of 6), but is not in compliance with 6.1.5 (4 of 6).

**Recommendations/Suggestions/Proposals:**

**6.1.5 (4 of 6).** *The duties of the chief executive officer, and of other administrative officials directly responsible to the chief executive must be clearly defined and made known to faculty and staff.*

**Recommendation:**

The Committee recommends that the duties of the Director of Public Relations, the Director of Institutional Research and Planning, and the Director of Institutional Advancement be published in the appropriate locations.

**Suggestions:**

None.

**Proposals:**

1. While the duties of the Director of Institutional Research and Planning are listed on the web site, the Committee proposes that the duties of all executive officers of Dalton State College who report directly to the President be stated on each administrator's home page of the Dalton State College Web site.
2. The Committee proposes that the Dalton State College Organizational Chart be published on the College's Web site and in the "Faculty and Administration"

section of future issues of the *Dalton State College Catalog and Student Handbook*.

### Must Statement Compliance Table

#### 6.1.5 Administrative Organization

Must Statement	Compliance Statement	Supporting Documentation
<b>6.1.5 (1 of 6).</b> The administrative organization <b>must</b> reflect the purpose and philosophy of the institution and enable each functional unit to perform its particular responsibilities as defined by the stated purpose of the institution.	Compliance	DSC Organizational Chart, <i>Dalton State College Statutes</i> , Appendix I  <i>Dalton State College Statutes</i> , Article I, pages 1-3; Article II, page 3; Article III, pages 5-13  <i>Board of Regents Policy Manual</i> , Section 201 < <a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a> >
<b>6.1.5 (2 of 6).</b> Administrative responsibility and authority for all educational offerings and functions of the institution <b>must</b> be clearly identified.	Compliance	DSC Organizational Chart, <i>Dalton State College Statutes</i> , Appendix I  <i>Dalton State College Statutes</i> , Article I, Section B, p. 1, Section C, pp. 2-3, Section D, pp. 3-4  <i>Dalton State College 2001-2002 Catalog and Student Handbook</i> , p. 11 < <a href="http://www.daltonstate.edu/catalog/01-02/catpdf0102.htm">http://www.daltonstate.edu/catalog/01-02/catpdf0102.htm</a> >  <i>Dalton State College Faculty Handbook</i> , "Statement of Purpose" < <a href="http://www.daltonstate.edu/hndbkpdf/full-time/02/fthndbk02.pdf">http://www.daltonstate.edu/hndbkpdf/full-time/02/fthndbk02.pdf</a> >
<b>6.1.5 (3 of 6).</b> Each institution <b>must</b> develop, publish, and make available an organizational chart clearly delineating lines of responsibility and authority.	Compliance	DSC Organizational Chart, <i>Dalton State College Statutes</i> , Appendix I  <i>Dalton State College Statutes</i> , Article I, Section C; Article III, Sections C-D; Article IV, Sections A-C <i>Dalton State College 2001-2002 Catalog and Student Handbook</i> , p. 11

Must Statement	Compliance Statement	Supporting Documentation
		<p>&lt;<a href="http://www.daltonstate.edu/catalog/01-02/catpdf0102.htm">http://www.daltonstate.edu/catalog/01-02/catpdf0102.htm</a>&gt;</p> <p><i>Dalton State College Faculty Handbook</i>,  “Statement of Purpose”, &lt;<a href="http://www.daltonstate.edu/hndbkpdf/full-time/02/fthndbk02.pdf">http://www.daltonstate.edu/hndbkpdf/full-time/02/fthndbk02.pdf</a>&gt;</p>
<p><b>6.1.5 (4 of 6).</b> The duties of the chief executive officer, and of other administrative officials directly responsible to the chief executive <b>must</b> be clearly defined and made known to faculty and staff.</p>	<p>Non-compliance</p>	<p><i>Dalton State College Statutes</i>, Article II, p. 3; Article III, pp. 5-10</p> <p><i>Board of Regents Policy Manual</i>, Sections 201, 202, and 204,  &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;</p> <p>DSC web site: &lt;<a href="http://www.daltonstate.edu/irp">http://www.daltonstate.edu/irp</a>&gt;</p>
<p><b>6.1.5 (5 of 6).</b> Administrative officers <b>must</b> possess credentials experience, and/or demonstrated competence appropriate to their areas of responsibility.</p>	<p>Compliance</p>	<p>Summaries of qualifications of the President and administrators reporting directly to the President on file in the Office of the President</p>
<p><b>6.1.5 (6 of 6).</b> The effectiveness of all administrators, including the chief executive officer, <b>must</b> be evaluated periodically.</p>	<p>Compliance</p>	<p><i>Board of Regents Policy Manual</i>, Sections, 102, 803.07</p> <p><i>Dalton State College Statutes</i>, Article II, p. 4</p> <p>Administrator Evaluation Questionnaire</p> <p>Interview with President of Dalton State College, 3/15/01.</p>

## 6.2 Institutional Advancement

### Introduction

Institutional Advancement at Dalton State College (DSC) concerns college-wide efforts in fund raising, alumni affairs, public relations, and institutional marketing and requires the services of two directors. These two offices are separate, with the Office of Public Relations serving as the visible arm of Institutional Advancement, and the Office of Institutional Advancement serving as the fund-raising arm (Interview with the Director of Institutional Advancement, January 16, 2002) (Interview with the Director of Public Relations, January 17, 2002). The Director of Institutional Advancement has the responsibility for Dalton State College Foundation fund raising and for the Dalton State College Alumni Association, while the Director of Public Relations oversees institutional marketing and public relations for the College. These directors report directly to the President, as documented in the institution's organizational chart (*Dalton State College Statutes*, Appendix I). These offices are directly related to the purpose of the institution in that they inform community members of the programs and opportunities available at Dalton State College.

### Presentation of Findings

The Director of Institutional Advancement, who holds a Master of Business Administration degree with an emphasis in marketing and management, is responsible for two principal advancement activities: Alumni Affairs and Development of Resources through the Dalton State College Foundation.

#### Alumni Services

According to its "Unit Goal Statement," the purpose of the Dalton State College Alumni Association is "to promote the cause of higher education; to promote, aid, and encourage growth and progress of the College; and to enhance the general welfare of DSC through formation, implementation, and management of development programs. In so doing, the Association will foster mutually beneficial relationships between and in cooperative enterprise with the community, faculty, students, and alumni of Dalton State College" (Dalton State College Institutional Advancement Performance Assessment Plan). In fulfilling the mission of overseeing Alumni Services, the Director of Institutional Advancement

- serves as administrator of the Dalton State College Alumni Association under the supervision of the President;
- organizes and carries out Alumni Association activities, including fund-raising efforts;
- maintains and expands the Alumni Association database;
- develops and implements a DSC Alumni Association Board of Directors to assist with the association's activities;
- organizes and carries out special Alumni Association activities on campus and throughout the service area;
- establishes and maintains an Alumni Association home page on the Internet



- <<http://www.daltonstate.edu/alumni.htm>>); and
- creates additional visibility as opportunity permits.

According to the Dalton State College Foundation Web Site, the original object and purpose of the Dalton Junior College Foundation was “to promote in various ways the cause of higher education, to expand educational opportunities, to acquire and administer funds which, after all payment of necessary expenses, shall be devoted to such objects and purposes” <<http://www.daltonstate.edu/foundation/found.htm>>. In the same spirit, today’s Dalton State College Foundation, Inc. is dedicated to excellence in education for the Dalton State College community through the utilization of private giving in order to make available opportunities which complement the College’s mission. To that end, the Foundation is committed to providing ongoing resources in the following areas: student scholarships, faculty enrichment, instructional equipment, endowed faculty chairpersons, campus expansion, community events, and other needs as may be warranted. As a partner with Dalton State College, the Foundation seeks to build upon the College’s strengths and enable it to justify recognition as one of the academically respected, student-oriented, and community-centered institutions of its kind (Dalton State College Institutional Advancement Performance Assessment Plan).

In fulfilling the mission of overseeing institutional development, The Director of Institutional Advancement

- serves as administrator of the Dalton State College Foundation under supervision of the Foundation Executive Committee (*Dalton State College Foundation Bylaws*);
- serves as DSC Foundation Treasurer, keeping financial records and managing deposits and disbursements;
- organizes and carries out the DSC Foundation’s fund-raising activities in cooperation with the DSC Foundation Executive Committee;
- maintains and expands the current donor database in order to enlarge on a continuous basis the number of individuals and companies donating to the DSC Foundation (Dalton State College Foundation Financial Statements, June 1998, 1999, 2000);
- makes personal contact with current and potential donors;
- conducts new trustee orientations and organizes other special DSC Foundation-related activities;
- establishes goals for the DSC Foundation (Dalton State College Foundation Goals, 2000-2003) (Interview with the Director of Institutional Advancement, 1/16/02).

**Public Relations**

The Director of Public Relations, who holds a Master of Arts degree in English with an emphasis in writing, is primarily responsible for the College’s overall visibility within its service area. This director works with the Director of Institutional Advancement and the President to enhance DSC’s image through

the use of effective media relations. Services provided by the public relations staff are varied; they are designed to support the College's image within its service area and to publicize the role which Dalton State College plays in the educational, economic, and recreational lives of area citizens (Statement of Purpose, Annual Report for the Office of Public Relations, 2000-2001). Two functions fall within the scope of the Office of Public Relations: Public Relations and Institutional Marketing.

#### The Director of Public Relations

- responds to media requests for television interviews and newspaper articles;
- responds to inquiries or requests from local secondary and other post-secondary institutions;
- serves as a liaison for the University System of Georgia's Public Relations Office to disseminate USG news releases;
- maintains an archive of newspaper clippings about activities, events, and programs of the College;
- provides photographs to various agencies;
- creates radio spots and television advertisements;
- promotes College events, such as the Fine Arts and Lecture Series;
- works with the Vice-President for Enrollment Services and the Admissions Office to promote the College.

#### Marketing

In the area of Marketing, the Director of Public Relations

- coordinates appropriate marketing materials, such as the *Dalton State College 2001-2002 Catalog and Student Handbook*; the *DSC Viewbook*, a promotional brochure; *Connections*, a periodical released three times per year which includes the semester schedule; the *Quill*, a faculty/staff monthly newsletter; bachelor's degree program brochures; a Nursing Division brochure; many Technical Division program brochures; and brochures to promote the new DSC Division of Business and Technology programs (Folder of selected publications of the Office of Public Relations);
- produces marketing materials for potential students, current students, alumni, and the public;
- serves on a Web Committee to oversee the redevelopment, redesign, and maintenance of the College's Web site;
- creates print advertisements for local newspapers and billboards;
- serves on the Marketing Committee to review and implement marketing strategies for the College (Interview with Director of Public Relations and Public Relations Specialist of Dalton State College, January 17, 2002).

#### 6.2 (1 of 1) Relation to Stated Purpose

The Directors of Institutional Advancement and of Public Relations prepare an annual report for the President to evaluate the goals, objectives, and budgets as they relate to the College's Statement of Purpose. In addition, the Director of

Institutional Advancement prepares an annual report for the public regarding goals and accomplishments of the Dalton State College Foundation.

The credentials and résumés of the Director of Institutional Advancement and the Director of Public Relations are on file in the Office of the President. These directors hold informal communication and formal meetings with the President as needed to assess progress toward goals.

In response to questions asked on the Dalton State College Faculty Survey 2000, 76 percent of the respondents agreed that DSC adequately publicizes its academic programs, student accomplishments, faculty accomplishments, social and cultural events, and intramural events (Items 143-147, below). Also, 89 percent of DSC faculty stated that they are satisfied that College publications accurately represent facts about Dalton State College to the Public (“Dalton State College Faculty Survey 2000 Results” on Institutional Advancement, questions 143-148—see Table 6.2.1 below).

**Table 6.2.1**  
**Faculty Satisfaction with Publicity of Programs, Events, and Accomplishments**

<b>DSC adequately publicizes:</b>	<b>Strongly Agree</b>	<b>Agree</b>	<b>Don't Know/ No Opinion</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
143. academic programs	17 25%	35 51%	5 7%	9 13%	3 4%
144. student accomplishments	9 13%	24 35%	17 25%	15 22%	4 6%
145. faculty accomplishments	8 12%	31 45%	11 16%	15 22%	4 6%
146. social and cultural events	10 15%	40 58%	9 13%	9 13%	1 1%
147. intramural events	7 10%	29 42%	22 32%	9 13%	2 3%
148. College publications, including the undergraduate catalog, accurately represent the programs, procedures, requirements, costs, and faculty at DSC.	19 28%	42 61%	6 9%	2 3%	0 0%

“Dalton State College Faculty Survey 2000 Results,” p. 21

**Conclusion:**

Examination of the missions, goals, and procedures of both the Office of Institutional Advancement and the Office of Public Relations of Dalton State College clearly demonstrates that these programs are directly related to the purpose of the institution. The Directors of these offices possess the qualifications required to carry out their responsibilities. The College is in compliance with the *SACS Criteria*, Section 6.2.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table  
6.2 Institutional Advancement**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<b>6.2 (1 of 1).</b> If there is an [institutional] advancement program, it <b>must</b> be directly related to the purpose of the institution.	Compliance	<p>Interview with the Director of Institutional Advancement, 1/16/02</p> <p>Interview with the Director of Public Relations, 1/17/02</p> <p>DSC Organizational Chart <i>Dalton State College Statutes</i>, Appendix I</p> <p>DSC Institutional Advancement Performance Assessment Plan &lt;<a href="http://www.daltonstate.edu/irp/irp/ir/president.html">http://www.daltonstate.edu/irp/irp/ir/president.html</a>&gt;</p> <p><i>The Roadrunner Express</i>, Fall 1999-Spring 2001</p> <p>DSC Alumni Association: &lt;<a href="http://www.daltonstate.edu/alumni.htm">http://www.daltonstate.edu/alumni.htm</a>&gt;</p> <p>DSC Foundation: &lt;<a href="http://www.daltonstate.edu/foundation/found.htm">http://www.daltonstate.edu/foundation/found.htm</a>&gt;</p> <p>Dalton State College Foundation Fund Raising Policies and Procedures</p> <p><i>Dalton State College Foundation, Inc. Bylaws</i></p>

Must Statement	Compliance Statement	Supporting Documentation
		<p><i>Dalton State College Foundation Strategic Plan 2000-2003</i></p> <p>“Dalton State College Foundation Goals, 2000-2003”</p> <p>Statement of Purpose for the Office of Public Relations in the Annual Report for the Office of Public Relations, 2000-2001</p> <p>Folder of selected publications of the Office of Public Relations</p> <p>Interview with Director of Public Relations and the Public Relations Specialist of Dalton State College, 1/17/02</p> <p>Dalton State College Foundation Annual Reports 1998, 1999, 2000, 2001</p> <p>Annual Report for the Office of Institutional Advancement, 1999-2001</p> <p>Résumés for Director of Institutional Advancement and Director of Public Relations</p> <p>“Dalton State College Faculty Survey 2000 Results” on Institutional Advancement, p. 21, questions 143-148 &lt;<a href="http://www.daltonstate.edu/irp/pdf/9900pdfs/facsursum00.pdf">http://www.daltonstate.edu/irp/pdf/9900pdfs/facsursum00.pdf</a>&gt;</p>

**6.2.1 Alumni Affairs**

**Presentation of Findings**

**6.2.1  
Relationship  
of College with  
Alumni**

The Director of Institutional Advancement is responsible for all alumni affairs. Alumni events promote involvement with Dalton State College (DSC) and contribute to fund-raising. The Director is compiling a database of alumni in the DSC ten-county service area and plans to increase alumni involvement. Significant developments in alumni affairs include the recent approval of the

*Dalton State College Alumni Association Bylaws* and the establishment of a separate Board of Directors for the Alumni Association. According to the *Dalton State College Alumni Association Bylaws*, the purposes of the Association are “to promote the cause of higher education; to promote, aid, and encourage growth and progress of the College; and to enhance the general welfare of DSC through formation, implementation, and management of development programs” (p. 1, Article II., “Purposes”). These changes will increase awareness of and involvement in the Alumni Association.

**6.2.1 (1 of 2)  
Alumni  
Affairs**

The Director of Institutional Advancement inducts all DSC graduates into the Alumni Association during the commencement exercise each spring. The DSC Alumni Association also publishes the *Roadrunner Express* newsletter and mails it to all alumni of record to encourage alumni participation in special events and to generate an on-going interest in the College. The Association sponsored a very successful homecoming event in 1999, and an alumni golf tournament held in 2001 was a successful fund-raiser, netting \$19,000. These funds will provide DSC students with scholarships to be presented on Awards Day in April 2002. Information about the Alumni Association is also included in *Connections*, another newsletter published and distributed by the DSC Public Relations Office. The Director of Institutional Advancement issues occasional press releases to newspapers in the service area to help inform alumni of various College activities, such as the Fine Arts and Lecture Series events.

The Alumni Association expects to expand the alumni database significantly each year (a minimum of 200 people) to assist with fund-raising activities and other College special events that will advance DSC’s image and position in the community. Growth will occur as the graduate data-base, web site responses, and other forms of communication increase (Interview with Director of Institutional Advancement of Dalton State College, 1/02).

**6.2.1 (2 of 2)  
Alumni  
and  
I. E.**

The Director of Institutional Research and Planning conducts a survey of alumni every other year to gauge institutional effectiveness as observed by alumni of the institution. In addition to gauging institutional effectiveness, this survey is used to determine what services alumni would like to see offered by Dalton State College. This survey will be used more extensively as the recently established Alumni Association Board is developed. The Dalton State College 2001 Alumni Survey Results Summary Report revealed that 56% of the alumni surveyed rated the quality of education they received at Dalton State College as “Excellent.” In addition, 59% indicated that their general attitude toward Dalton State College was ‘Very Positive,’ and 91% said they would “recommend the College to others.” According to the survey, 75% rated their level of satisfaction with the education they received at Dalton State College as “Very Satisfied” (See Table 6.2.1.2 below) (Dalton State College 2001 Alumni Survey Results Summary Report, p. 1, <<http://www.daltonstate.edu/irp/irp/surveys/2001Alumni.pdf>>).

**Table 6.2.1.2**  
**Alumni Satisfaction with Dalton State College Education**

	<b>Excellent</b>	<b>Good</b>	<b>Average</b>	<b>No Response</b>
Overall, how would you rate the quality of education you received at Dalton State College?	18 56.2%	12 37.5%	1 3.2%	1 3.1%

	<b>Very Positive</b>	<b>Positive</b>	<b>Negative</b>	<b>No Response</b>
What is your general attitude toward Dalton State College?	19 59.4%	11 35%	1 3.1%	1 3.1%

	<b>Yes</b>	<b>No</b>	<b>Don't Know</b>	<b>No Response</b>	
Would you recommend Dalton State College to others?	29 91%	1 3%	1 3%	1 3%	

	<b>Definitely yes</b>	<b>Probably yes</b>	<b>Not sure</b>	<b>Probably no</b>	<b>No Response</b>
If you could start over, would you choose to attend Dalton State College?	20 62.5%	9 28.1%	1 3.1%	1 3.1%	1 3.1%

	<b>Very Satisfied</b>	<b>Satisfied</b>	<b>Dissatisfied</b>	<b>No Response</b>	
Overall, how would [you] rate your level of satisfaction with the education you received at Dalton State College?	24 75%	6 18.7%	1 3.1%	1 3.1%	

Dalton State College 2001 Alumni Survey Results Summary Report, p. 1

**Conclusion:**

The College is in compliance with the *SACS Criteria*, Section 6.2.1.

**Recommendation/Suggestions/Proposals:**

None.

**6.2.2 Fund Raising****Presentation of Findings**

6.2.2 (1 of 3)  
Relation of  
Fund  
Raising to  
Purpose

The Office of Institutional Advancement, under the leadership of the President of DSC, coordinates the fund-raising efforts of the Dalton State College Foundation, a non-profit, tax-exempt 510 (c) (3) corporation, and the Dalton State College Alumni Association. The goals of the Foundation and the Alumni Association relate to the College's purpose as documented in the "Dalton State College Mission and Core Purposes" statement. These specifically related purposes concern

- a commitment to a teaching/learning environment [. . .] that sustains instructional excellence [. . .];
- a high quality general education program [. . .];
- baccalaureate programs designed to meet the [. . .] needs of the local area;
- a commitment to scholarship [. . .] to enhance institutional effectiveness and to encourage faculty scholarly pursuits [. . .];
- technology to advance educational purposes. [. . .],  
<<http://www.daltonstate.edu/irp/sacs/mission.html>>.

The *Bylaws of the Dalton State College Foundation, Inc.*, list the purposes of the organization:

to perform and promote the cause of higher education, to expand educational opportunities, to acquire and administer funds, which [. . .] shall be devoted to such objects [. . .], to create scholarships and endowments, supplement salaries of [. . .] teachers, to carry out research work in all fields. [. . .]" (Article 2, Section 2.2a)

These purposes are clearly consistent with the purposes of the College described above.

The Dalton State College Foundation brings together a wide range of citizens from Whitfield County and surrounding counties to act in DSC's behalf to conduct fund-raising drives, to accept gifts, to provide a liaison between College and community, to advise the administration, and to manage expenditures. Current membership on the Foundation Board of Trustees includes a range of professionals and businesspersons from the College's service area. Of the 32 members, several are alumni or alumnae; over one-third are associated with the



carpet industry; five are educators; three are bankers; four are attorneys; five are from other businesses; six are women; and one is African-American. Six live in Gordon, Catoosa, and Murray Counties.

The *Dalton State College Alumni Association Bylaws* identify the purposes of the Association as follows:

to promote the cause of higher education; to promote aid, and encourage growth [. . .] of the College; to enhance the general welfare of Dalton State College through formation, implementation, and management of development programs [. . .] to foster mutually beneficial relationships between and in cooperative enterprise with the community, faculty, students, and alumni of DSC (Article II, “Purposes”).

These stated purposes are fully consistent with the sections of the Dalton State College Statement of Purpose quoted above.

The Dalton State College Foundation Statement of Purpose includes the following statement: “[T]he Foundation is committed to providing ongoing resources in the following areas: student scholarships, faculty enrichment, instructional equipment, endowed faculty chairpersons, campus expansion, community events, and other needs as may be warranted.” Specific activities include supporting fund raising for scholarships awarded both on the basis of academic achievement and financial need in support of the College’s mission to provide qualified students the opportunity to attend college, regardless of financial status; providing educational grants for faculty members who pursue studies that will improve their qualifications as college instructors; and funding the purchase of advanced technology for instructional purposes.

Another fund-raising endeavor being pursued by the Office of Institutional Advancement is the naming of buildings or facilities at the College in honor of living or deceased persons. This fund-raising practice is governed by Board of Regents’ Policy, “Names of Buildings, Facilities, or Streets” (*Policy Manual of the Board of Regents*, Section 912), which provides that such persons will have rendered outstanding service to the institution and not have been employed by a state or federal entity for at least two years prior to the naming. For instance, in 2001 the College named the Shirley and Alan Lorberbaum Liberal Arts Building in honor of a prominent Dalton family who have actively supported education at all levels, including Dalton State College.

The Board of Regents of the University of Georgia authorizes and encourages USG institutions to solicit gifts and grants “in support of the mission and objectives of the institution, including funds for student scholarships, salary supplements, construction of physical facilities, and gifts and grants for other purposes as may be designated by the donor. However, institutions are not authorized to commit any state funds for challenge or matching grants or gifts for

the construction of facilities or for other purposes without prior approval of the Board of Regents” (*Board of Regents Policy Manual*, Sections 701.01 and 701.07).

**6.2.2 (2 of 3)  
Planning  
and  
Evaluation**

Both units engaged in fund raising related to institutional advancement at DSC have on-going planning and evaluation processes. The units’ goals, committee assignments, and job descriptions document these processes. For example, the *Dalton State College Strategic Plan, 2000-2003* establishes goals for additional endowed faculty chairpersons (p. 66), provides benchmark measures for the Dalton State College Alumni Association (p. 66), and specifies goals for additional privately funded student scholarships (“Institutional Advancement Plans,” p. 87, located on the DSC Web site:

<<http://www.daltonstate.edu/irp/plan/stratplan00-03.pdf>>). The *Strategic Plan* also lists additional development goals under the section entitled “President’s Office” (p. 90) and lists implementation plans under “Administrative Objectives of Institutional Advancement” (p.190).

The DSC Foundation, governed by volunteer trustees, is a tax-exempt corporation, established to provide financial support for DSC. Its approved activities include advising the President of DSC, creating a liaison between the College and community constituencies, and assisting the College in securing private funds to fulfill its mission. The Foundation accepts gifts, maintains accounting records, manages assets under its control, and disburses monies to support College programs. All funds raised become assets of the Foundation, which provides for an annual audit of its activities conducted by an independent certified public accounting firm. The Foundation Treasurer reports the audit results at the annual Foundation meeting attended by the Foundation trustees, faculty, staff, news media, and the public at large. This annual report serves as a form of benchmarking for the DSC Foundation. The Foundation has a three-year goal statement, entitled “Dalton State College Foundation Goals for 2000-2003,” which is updated yearly at the annual board retreat, where progress toward goals is also reported.

**6.2.2 (3 of 3)  
Policies and  
Procedures**

The Board of Regents of the University System of Georgia encourages System institutions to seek financial support from “alumni, friends, corporations and other private individuals and organizations” who may wish to contribute to the welfare of the institutions. The Board also stipulates the ways in which such funds may be used and limits the institutions’ authority to accept “gifts, bequests, agreements, or declarations of trust” to less than \$100,000, without Board approval. The DSC Foundation, however, is exempt from this provision (*Board of Regents Policy Manual*, Section 701.01).

No policies and procedures could be found relative to fund raising under Dalton State College’s Office of Institutional Advancement.

The “Student Handbook” contains policies for student organization fund raising (*DSC 2001-2002 Catalog and Student Handbook*, pp. 52-54)

**Conclusion:**

The fund-raising activities of the Office of Institutional Advancement of Dalton State College relate to the purpose of the institution, and the College’s planning and evaluating processes include them. For example, the *DSC Strategic Plan* contains goals for the expansion of endowed faculty chairs and for targeted fund raising to support four-year programs in the *Dalton State College Strategic Plan, 2000-2003*

(p. 90). The College is in compliance with the *SACS Criteria*, Section 6.2.2. (1 of 3) but is not compliant with 6.2.2 (2 of 3) and 6.2.2 (3 of 3).

**Recommendations/Suggestions/Proposals:**

**6.2.2 (1 of 3).** *All fund raising must be related to the purpose of the institution.*

**Recommendations/Suggestions:**

None.

**Proposal:**

In keeping with Dalton State College’s commitment to diversity, the Committee proposes that the College, through the Director of Institutional Advancement, use its influence with the Dalton State College Foundation to ensure appropriate ethnic, gender, economic class, and professional sector representation on the DSC Foundation Board of Trustees. The Director of Institutional Advancement might also consider recommending to the Foundation that each of the ten counties in the service area be represented. In addition, the Committee proposes that the Office of Institutional Advancement establish diversity goals to be considered when dealing with the DSC Foundation.

**Recommendations/Suggestions/Proposals:**

**6.2.2 (2 of 3).** *All aspects of fund raising must be incorporated into the planning process and be evaluated regularly.*

**Recommendation:**

As noted above, the *Dalton State College Strategic Plan, 2000-2003*, includes several elements concerning fund-raising; however, the Dalton State College Foundation, although it does maintain a three-year goal statement, lacks a strategic plan beyond its bylaws. The Committee recommends that the Director

of Institutional Advancement establish a goal to work with the Dalton State College Foundation to develop a strategic plan which arises from and implements appropriate parts of the *Dalton State College Strategic Plan, 2000-2003*. The plan could include a long-range vision for the College with time lines and targets for developing resources and for proposed new programs and facilities. Such a strategic plan for the Dalton State College Foundation, if developed, could then be included in the “Institutional Advancement” and the “President’s Office” sections of the *Dalton State College Strategic Plan, 2000-2003*. **Status:** See the *DSC Self-Study Report Addendum-“Master List of Recommendations.”*

**Suggestions:**

None.

**Proposal:**

The Committee proposes that Dalton State College recommend to the DSC Foundation that it consult with a highly successful college foundation, such as Clayton College and State University, for assistance in designing a strategic plan.

**Recommendations/Suggestions/Proposals:**

**6.2.2 (3 of 3).** *An institution must develop policies and procedures for fund raising and ensure that such policies are appropriately disseminated and followed.*

**Recommendation:**

The Committee recommends that the Director of Institutional Advancement develop and publish guidelines and procedures for fund raising, which should be shared with the Dalton State College Foundation. **Status:** See the *DSC Self-Study Report Addendum-“Master List of Recommendations.”*

**Suggestions/Proposals:**

None.

**Must Statement Compliance Table  
Section 6.2.2 Fund Raising**

Must Statement	Compliance	Supporting Documentation
<p><b>6.2.2 (1 of 3).</b> All fund raising <b>must</b> be related to the purpose of the institution.</p>	<p>Compliance</p>	<p>“Dalton State College Statement of Purpose,” <i>Dalton State College Statute</i>, Article I, B.  <i>Bylaws of Dalton [State] College Foundation, Inc.</i>, Article 2.2</p>

Must Statement	Compliance	Supporting Documentation
		<p><i>Dalton State College Alumni Association Bylaws</i>, Dalton State College Foundation Annual Reports, 1998, 1999, 2000, 2001</p> <p>Dalton State College Foundation Board of Trustees and Executive Committee 2001</p> <p><i>Board of Regents Policy Manual</i>, Sections 701.01 and 912 &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;</p>
<p><b>6.2.2 (2 of 3).</b> All aspects of fund raising <b>must</b> be incorporated into the planning process and evaluated regularly.</p>	<p>Non-compliance</p>	<p><i>Dalton State College Strategic Plan, 2000-2003</i>, pp. 66, 87, 90, 190 &lt;<a href="http://www.daltonstate.edu/irp/plan/stratplan00-03.pdf">http://www.daltonstate.edu/irp/plan/stratplan00-03.pdf</a>&gt;</p> <p><i>Board of Regents Policy Manual</i>, Section 701.01 &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;</p> <p>“Dalton State College Foundation Goals, 2000-2003”</p>
<p><b>6.2.2 (3 of 3).</b> An institution <b>must</b> develop policies and procedures for fund raising and ensure that such policies are appropriately disseminated and followed.</p>	<p>Non-compliance</p>	<p><i>Dalton State College Strategic Plan, 2000-2003</i>, pp. 74, 90 &lt;<a href="http://www.daltonstate.edu/irp/plan/stratplan00-03.pdf">http://www.daltonstate.edu/irp/plan/stratplan00-03.pdf</a>&gt;</p> <p><i>Board of Regents Policy Manual</i>, Section 912 &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;</p> <p>“2000 Dalton State College Foundation Annual Report,” <i>Dalton State College Foundation Annual Reports 1998, 1999, 2000, 2001</i></p> <p>Dalton State College Foundation Audit Reports, 1999-2001</p>

## Section 6.3: Financial Resources

### Introduction

To assess the adequacy and stability of Dalton State College's financial resources, the responsible Self-Study committee reviewed annual budgets, the number of full-time equivalent students (EFTs), the College's expenditures per EFT, and the total enrollment over a five-year period. The committee, using written documentation and flow-chart analysis, evaluated three areas: the financial data reported to the Board of Regents of the University System of Georgia (USG), the organization of the Office of Fiscal Affairs, and the qualifications of the Vice President for Fiscal Affairs.

### Presentation of Findings

#### 6.3.1 (1-2 of 2) Financial Resources

The analysis of financial stability contains data concerning two areas: revenue by source and expenditures by function. As a unit of the University System of Georgia, most of Dalton State College's revenue derives from general operations funding, which includes both state appropriations and internal revenue. Other revenue sources are state appropriated special initiatives, lottery funds, program support funds for community education, and sponsored-operation funding that includes federal, state, and private grants and contracts (Annual Budgets, Fiscal Years 1997-2001). According to the *USG Board of Regents Policy Manual*, Sections 702.01-702.04, these are acceptable sources of revenue.

From 1997 to 2001, the College had a 37 percent increase in revenue from these sources amounting to \$5,795,706. Figure 6.3.1-1 illustrates this increase.

**Table 6.3.1-1**  
**Amount and Percentage of Revenue by Source**  
**FY 1997-2001**

Source	FY - 1997	FY - 1998	FY - 1999	FY - 2000	FY - 2001
<b>General Operations</b>					
<b>State Appropriations</b>	7,624,971 49.24%	8,404,905 48.66%	9,397,398 49.88%	9,778,922 49.48%	10,121,649 47.57%
<b>Student Tuition &amp; Fees</b>	2,788,260 18.00%	3,114,271 18.03%	3,213,066 17.06%	3,169,057 16.04%	3,661,677 17.21%
<b>Sales &amp; Services-Educational Departments</b>	92,824 0.60%	98,725 0.60%	89,960 0.50%	88,305 0.40%	98,055 0.50%
<b>Other Sources</b>	51,861 0.30%	59,768 0.30%	96,221 0.50%	60,048 0.30%	77,466 0.40%
<b>Special Funding Initiatives</b>	95,215 0.60%	93,547 0.50%	121,218 0.60%	687,546 3.48%	137,803 0.60%

<b>Lottery Funds</b>	61,500 0.40%	80,559 0.50%	53,000 0.30%	110,000 0.60%	120,000 0.60%
<b>Continuing Education</b>	289,662 1.90%	338,970 1.96%	301,261 1.60%	333,976 1.69%	430,349 2.02%
<b>Research Consortium</b>	0 0.00%	0 0.00%	0 0.00%	9,500 0.10%	14,000 0.10%
<b>Sponsored Operations</b>					
<b>Federal Grants &amp; Contracts</b>	1,240,464 8.01%	1,920,372 11.11%	2,163,121 11.48%	2,075,602 10.50%	2,411,931 11.34%
<b>State Grants &amp; Contracts</b>	2,673,291 17.26%	2,726,579 15.78%	2,748,548 14.59%	2,961,097 14.98%	3,782,859 17.78%
<b>Private Grants &amp; Contracts</b>	566,166 3.66%	436,645 2.53%	654,413 3.47%	488,053 2.47%	420,131 1.97%
<b>Total Revenue</b>	15,484,214	17,274,341	18,838,206	19,762,106	21,275,920

Source: Annual Budgets, Fiscal Years 1997-2001

Table 6.3.1-2 compares the growing enrollment to the increasing revenue (*2001-2002 Facts and Figures*, Office of Institutional Research and Planning; Annual Expenditure Report (AER) submitted to the Budget Office of the Board of Regents; EFT: Semester credit hours from Curriculum Inventory System Report for fiscal years 1998-2001 and quarter credit hours from Curriculum Inventory System Report for fiscal years 1997-1998). Although the College experienced a temporary decrease in enrollment and in EFT's in 1999 due to semester conversion, the College's enrollment increased over the next two years. Over the past five years (1997-2001), Dalton State College has ranked among the ten state educational institutions with the lowest expenditures per EFT (Annual Expenditure Reports (AER) 1997-2001). In 1997 and 1998, the College was second lowest in expenditures per EFT, fifth lowest in 1999, fourth in 2000, and eighth in 2001 (AER for 1997-2001). Based on this analysis, it is clear that the College enjoys both a history of financial stability and a sufficient amount of financial resources to fund its programs.

**Table 6.3.1-2  
Headcount, EFT, and Expenditures/EFT  
FY 1997-2001**

	<b>FY - 1997</b>	<b>FY - 1998</b>	<b>FY - 1999</b>	<b>FY - 2000</b>	<b>FY - 2001</b>
<b>Headcount Enrollment</b>	3,006	3,053	2,967	3,051	3,139
<b>Equivalent Full-Time</b>	2,125	2,210	1,822	1,839	1,841
<b>Total Expenditures per EFT (\$)</b>	6,338	6,579	8,634	6,400	6,693

**Source: *Facts and Figures, 2001*, pp 9-10**

**Conclusion:**

The College is in compliance with the *SACS Criteria*, Section 6.3.1.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table  
6.3.1. Financial Resources**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<b>6.3.1 (1 of 2).</b> Because the financial resources of an institution influence the quality of its educational programs, each institution <b>must</b> possess sufficient financial resources to support all of its programs.	Compliance	FY 1997 Annual Budget  FY 1998 Annual Budget  FY 1999 Annual Budget  FY 2000 Annual Budget  FY 2001 Annual Budget  <i>USG Board of Regents Policy Manual, Sections 702.01-702.04</i>
<b>6.3.1 (2 of 2).</b> The recent financial history of the institution <b>must</b> also demonstrate the financial stability essential to its successful operation.	Compliance	FY 1997 Annual Budget  FY 1998 Annual Budget  FY 1999 Annual Budget  FY 2000 Annual Budget



Must Statement	Compliance Statement	Supporting Documentation
		FY 2001 Annual Budget  <i>2001 Facts and Figures</i> , Office of Institutional Research and Planning, pp. 9-10  1997 Expenditures from Annual Expenditure Report (AER) submitted to the Budget Office, Board of Regents for FY 1997, 1998, 1999, 2000, 2001  Semester credit hours-- Curriculum Inventory System Report for FY 1999-2001  Quarter credit hours-- Curriculum Inventory System Report for FY 1997 and 1998

**6.3.2: Organization for the Administration of Financial Resources**

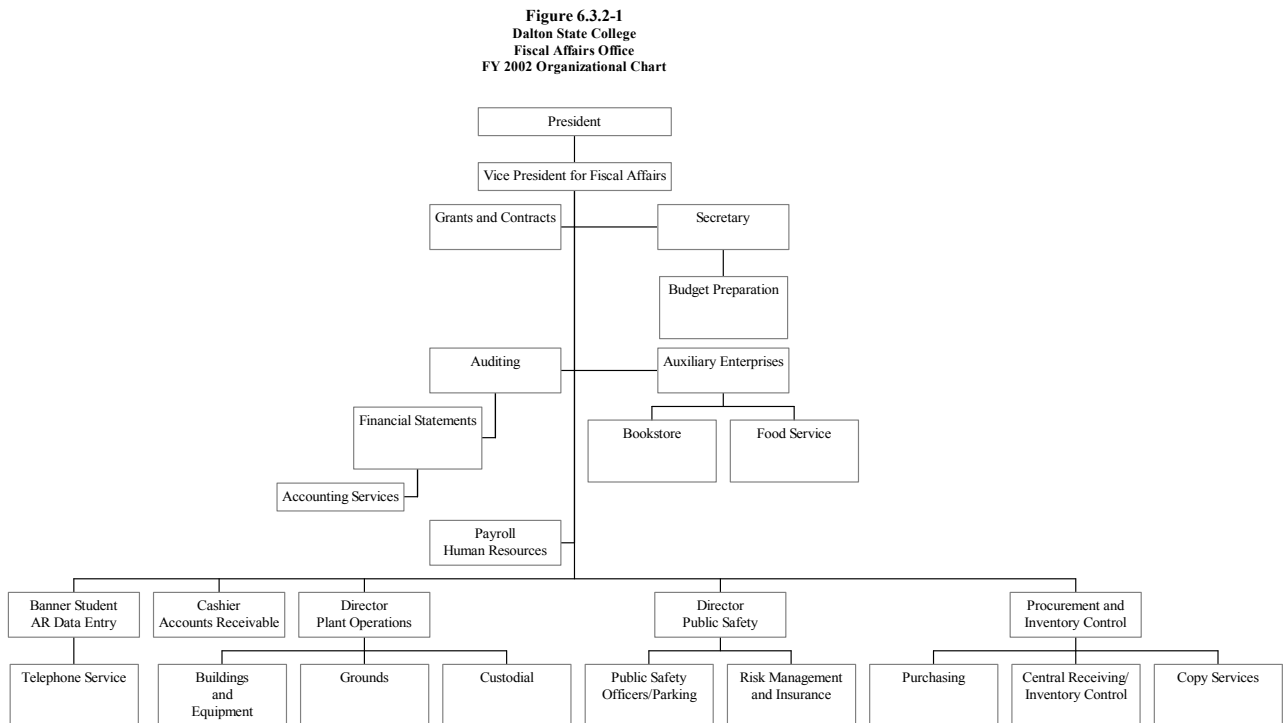
6.3.2 (1-2 of 2)  
**Organization and Administration**

The President of Dalton State College, with the approval of the Board of Regents of the University System of Georgia, appoints the College’s chief business officer, the Vice President for Fiscal Affairs. Consistent with the organization of financial administration by the USG Board of Regents, the President delegates to the Vice President for Fiscal Affairs the authority for financial oversight of the College. Dalton State College’s Vice President for Fiscal Affairs has the responsibility for all of the institution’s business and financial functions (*By-Laws of the Board of Regents*, Section VI; *Dalton State College Statutes*, Article II and Article III, Sections A-C, and Section D, Item 3; *USG Board of Regents Policy Manual*, Section 700). These functions include accounting, purchasing, property control, cashiering, student accounts, short term investments, budget and financial planning, personnel services, physical plant, internal audit, public safety, risk management, capital design and construction, and environmental health and safety services (*DSC Statutes*, Article III, Section D, Item 3: Duties and Responsibilities of the Vice President for Fiscal Affairs). The Vice President for

Fiscal Affairs also administers auxiliary enterprises, which consists of two operations: the bookstore and food services (DSC Fiscal Affairs Organizational Chart, Figure 6.3.2-1).

The organization of the Office of Fiscal Affairs, under the policies specified by the University System, is consistent with the stated purpose of the College, “to provide a high-quality general education program” [ . . . ] and “opportunities for all persons within its service area to live self-fulfilling and productive lives” (“DSC Statement of Purpose,” *Dalton State College Statutes*, Article I. B., pp. 1-2) The administration and staff are adequate for the size of the institution, the volume of its transactions, and the extent of its budget management functions.

The Vice President for Fiscal Affairs, who has over twenty-seven years of service to the University System of Georgia and fourteen years in his current position, presents the annual budget to the President for approval and provides the President with monthly reports of the financial condition of the institution. The President provides the *Annual Report of Institutional Progress* to the Board of Regents that includes information on the financial and business operations of the institution. The Vice President for Fiscal Affairs acts as the chief business officer in assisting DSC’s President in the day-to-day business operations of the institution and plays a leadership role in developing long- term strategic directions for the institution. Table 6.3.2-1 displays the flowchart of responsibility for the Vice President for Fiscal Affairs.



**Conclusion:**

The College is in compliance with the *SACS Criteria*, Section 6.3.2.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table**  
**6.3.2 Organization for the Administration of Financial Resources**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.3.2 (1 of 2).</b> The organization of the business office <b>must</b> be consistent with the purpose of the institution, the size of the institution, and the volume of transactions of a business or financial nature.</p>	<p>Compliance</p>	<p><i>USG By-Laws of the Board of Regents</i>, Section VI</p> <p><i>DSC Statutes</i>, Article II and Article III, Sections A-C and Section D, Item 3: “Duties and Responsibilities of the Vice President for Fiscal Affairs”</p> <p><i>USG Board of Regents Policy Manual</i>, Section 700</p>
<p><b>6.3.2 (2 of 2).</b> The chief executive officer <b>must</b> report regularly to the governing board on the financial and business operations of the institution.</p>	<p>Compliance</p>	<p><i>DSC 2000-2001 Annual Report of Institutional Progress</i>, p. 29</p> <p><i>DSC Statutes</i>, Article III, Item 3, Duties and Responsibilities of the Vice President for Fiscal Affairs</p>

### 6.3.3 Budget Planning

#### Presentation of Findings

**6.3.3  
(1 of 4)  
Detailed  
Annual  
Budget**

The University System of Georgia distributes funding for each of its institutions consistent with the mission and programs established by each. The Dalton State College (DSC) administration, incorporating the goals of the institutional strategic plan, annually evaluates the current base budget, projected revenues, and new funding requests for the fiscal year and develops an appropriately detailed budget pursuant to Board of Regents' budgetary policy guidelines (*USG Board of Regents Policy Manual*, Section 702; 2001-2002 Dalton State College Annual Budget). The College submits original detailed budgets for all operations in May, and the USG Board of Regents approves budgets in June. All budgets are effective from July 1 to June 30, the fiscal year. The College submits budget amendments, where appropriate, during the fiscal year; and staff in the Office of the University System Vice Chancellor for Fiscal Affairs reviews and incorporates such requests, which must be consistent with the parameters and initiatives of the Board of Regents and DSC's mission, into the total University System's Budget (*USG Board of Regents Policy Manual*, Sections 702 and 702.06).

Financial and budgetary procedures for the University System divide financing, accounting, and operation of fiscal affairs into two parts. The first part consists of educational and general programs, such as cost of instruction, research, public service, academic support, student services, institutional support, operation and maintenance of plant, and scholarships and fellowships, and such income as student fees, federal grants, state grants, and other income from sales, gifts, rentals, and other related items. The second part concerns auxiliary enterprises. (*USG Board of Regents Policy Manual – Budget Policy*; Section 702).

**6.3.3 (2 of 4)  
Sound  
Educational  
Planning**

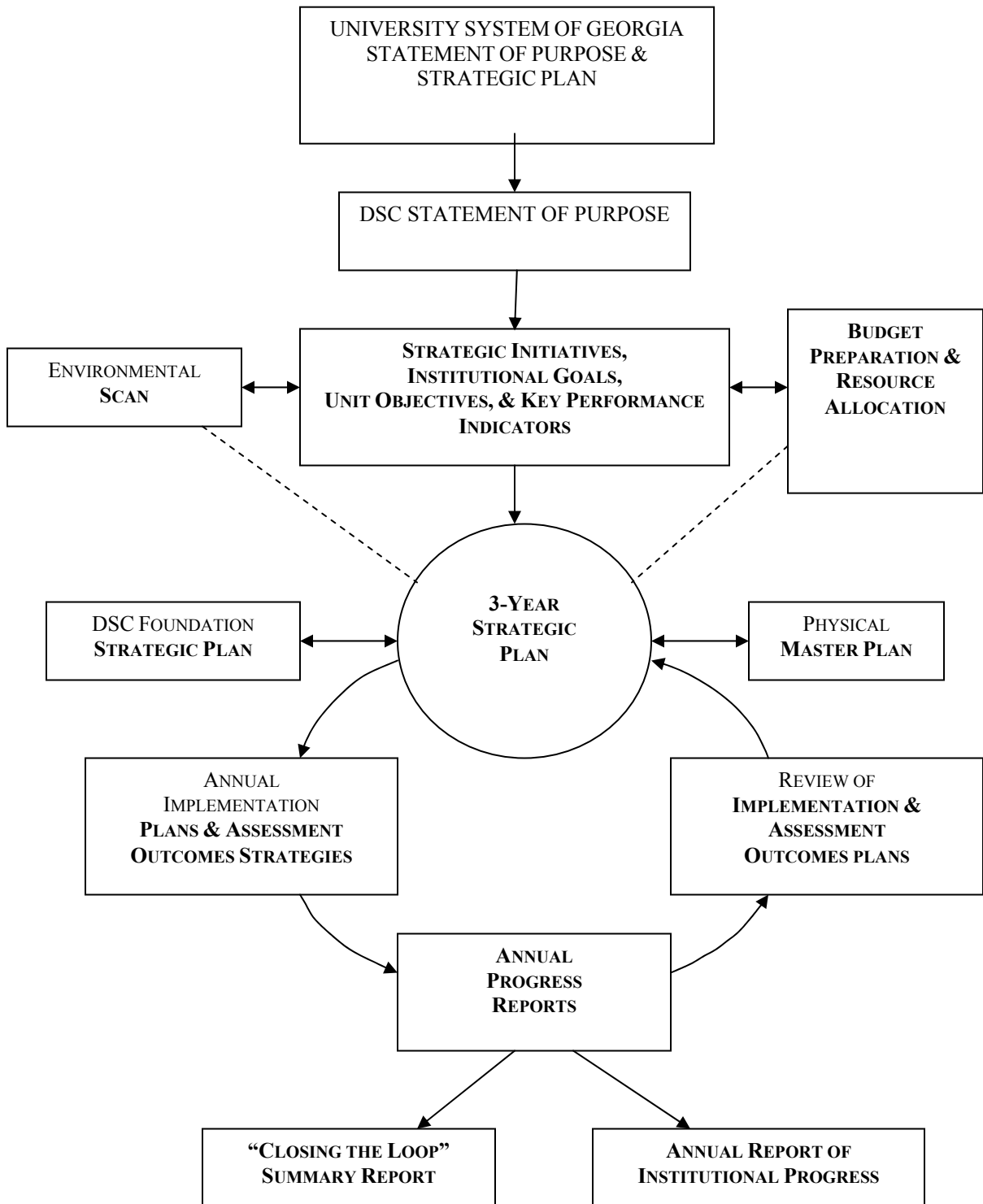
At Dalton State College, overall responsibility for linking planning with budgeting resides with the President, who receives assistance from the Strategic Planning Committee. To ensure that sound educational planning precedes the preparation and execution of the budget, members of the Strategic Planning Committee include the Vice President for Academic Affairs, the Vice President for Fiscal Affairs, the Vice President for Enrollment Services and the Vice President for Student Affairs, the Division and Department Chairs, faculty members elected from each division, the President (or a designate) of the Student Body, two students, and representation from the DSC Foundation (*Dalton State College Statutes*, Article VI. B. 15).

Strategic planning operates on a three-year cycle, and during each year of that cycle, division chairpersons prepare implementation plans to carry out the strategic initiatives and goals set forth in the strategic plan. These plans provide the link between planning and budgeting. To implement the planning-budgeting linkage, each budget cycle requires the Administrative Council to ensure that the

College's resources are allocated to achieve the annual Strategic Planning Committee implementation plans.

The link between educational planning and the budgeting process is illustrated in Figure 6.3.3-1 below.

**Figure 6.3-1  
DSC Strategic Planning Flow Chart**



University System annual budget requests to the Governor identify needed resources to support new academic programs or program changes that have been approved by the Board of Regents. The Board of Regents projects the level of increases that will be necessary to support enrollment targets for the coming year based upon forecasted institutional enrollment. This procedure reflects funding according to enrollments generated over the previous two fiscal years, but also includes program growth and expected expenditures.

In addition to System-wide funding issues, University System institutions annually receive notification from the Board of Regents to submit requests that identify their unique needs. In such cases, the college presidents and their staffs meet to discuss what items should be included in requests for new funding to be discussed with the Board. At special budget meetings with the Chancellor and staff, every college and university president makes a presentation on the issues submitted for consideration. From this meeting comes the Board of Regents' request that is forwarded to the Governor's Office and in turn becomes part of the Governor's Budget Request forwarded to the Legislature. The budget request phase comes to a close when the Legislature completes the annual session and enacts an appropriation bill that contains funding for the University System.

The DSC President, who also serves as chairperson of the Strategic Planning Committee, and the four vice presidents comprise the membership of the Administrative Council. The Administrative Council is responsible for the alignment of resources, which is accomplished twice in each budget cycle: first, in the original budget, and second, in midyear budget reallocations. In both instances, new and reallocated resources are linked to the appropriate strategic planning goals.

Appropriate budget management practices embedded in this process ensure flexibility to accommodate unforeseen expenditures. The entire budget supports the College's planning goals and outcomes, and the mechanism through which this is accomplished involves both new allocations and reallocations to the budget cost centers. At the same time, sufficient flexibility remains in the overall institutional budget to deal with unfunded mandates, contingencies, and emergencies. A physical master plan and annual priority rankings of capital outlay needs, as well as major repair and renovations projects, link the College's infrastructure to the planning-budgeting effort. The president reviews budget management documentation at least three times per year.

**6.3.3 (3 of 4)  
Procedures  
Evaluated  
Regularly**

Procedures for budget planning, like all planning processes in which DSC engages, are reviewed by the Strategic Planning Committee. In addition, the President and the Vice President for Fiscal Affairs are, at the time of this report, in the process of developing a more detailed regular budget procedure review.

**6.3.3 (4 of 4)  
Budget  
Presented to  
the Board of  
Regents**

The President and vice presidents, overseeing all educational and administrative support units, engage in an annual budget process during which goals and objectives are linked to Dalton State College’s operating budget and funding base. Needs for additional resources are also identified during this process. The overall responsibility for linking planning, budgeting, and goal-setting resides with the President, who carries out the responsibility in connection with the goals of the institutional *Strategic Plan*. A pre-budget conference with University System office personnel occurs in January or February to discuss budgeting for the following fiscal year. Each institution is asked to identify strategic budget needs. In May, the President, through the Vice President for Fiscal Affairs, presents the proposed annual budget to the Board of Regents for final approval (*Dalton State College Statutes*, Article III. D. 3, p. 8). Upon approval in June, the College has an official operating budget that is consistent with institutional priorities and unit goals.

**Conclusion:**

This approach to linking the planning and budgeting process has enabled the institution to accomplish the linkage in a concrete, formal, and documentable fashion. Because the goals and activities spring directly from the *Strategic Plan*, and because the planning process is broadly participatory given the structure of the Strategic Planning Committee, the linkage between planning and budgeting is a college-wide endeavor (*Dalton State College, 2000-2003 Strategic Plan*, pages 11-12). DSC is in compliance with the *SACS Criteria*.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table  
6.3.3. Budget Planning**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting FY 2001 Documentation</b>
<b>6.3.3 (1 of 4).</b> An institution <b>must</b> prepare an appropriately detailed annual budget.	Compliance	FY 2001 Approved Operating Budgets  FY 2001 Revenue Projections  <i>Board of Regents Policy Manual</i> , “Budget Policy”; Section 702 < <a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a> >
<b>6.3.3 (2 of 4).</b> Its preparation and execution <b>must</b> be preceded by sound educational planning.	Compliance	University System of Georgia Fiscal Year 2002 Final Allocation  FY 2001 Approved Operating Budgets  FY 2001 Revenue Projections



<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting FY 2001 Documentation</b>
		Budget Amendment Reporting  <i>Board of Regents Policy Manual,</i> Budget Policy; Section 702 < <a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a> >  <i>Dalton State College Statutes, Article VI. B. 15</i>
<b>6.3.3 (3 of 4).</b> Procedures for budget planning <b>must</b> be evaluated regularly	Compliance	FY 2001 Approved Operating Budgets  FY 2001 Revenue Projections  <i>Board of Regents Policy Manual,</i> Budget Policy; Section 702 < <a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a> >
<b>6.3.3 (4 of 4)</b> The budget is presented by the chief executive officer through proper channels to the governing board for final approval.	Compliance	<i>Dalton State College Statutes, Article III, D, 3, p. 8.</i>  <i>Board of Regents Policy Manual,</i> Budget Policy, Section 702, < <a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a> >

### 6.3.4: Budget Control

#### Presentation of Findings

**6.3.4 (1 of 5)  
Established  
System of  
Control**

After the University System of Georgia (USG) Board of Regents approves the Dalton State College budget, the Vice President for Fiscal Affairs (VPFA) distributes allocation information to the department and division chairs, identifying approved funding by object code and expense item as well as providing revenue projections. Since State law prohibits DSC from a deficit in general operations, internal controls established by the President and Vice President for Fiscal Affairs must assure disciplined management of the College's financial resources. These procedures, in addition to those established by the Board of Regents, ensure an effective system of control for the disbursement of budgetary funds (*USG Board of Regents Policy Manual*, Section 702).

**6.3.4 (2 of 5)  
Interim  
Budget  
Statements  
Provided**

As part of the institutional budget control process, the Vice President for Fiscal Affairs disseminates monthly budget expenditure reports to division and department heads for their guidance in managing unit budgets (*Dalton State College Statutes*, Article III. D. 3, p. 8).

**6.3.4 (3 of 5)  
Budget  
Controlled by  
Administration**

The USG Board of Regents' System Office receives State appropriation allotments for current funds (funds budgeted for instruction, research, public service, etc.) and plant funds, except for auxiliary enterprises and student activities, which are state appropriation. The University System then allocates a percentage to the College. The College retains full control of, and responsibility for, the allocated resources for purposes of performing the primary functions of the College (*Dalton State College Notes to the Financial Statements June 30, 2001*, pp. 8-10; *Board of Regents Policy Manual*, Section 702.03).

**6.3.4 (4 of 5)  
Budget  
Revisions**

Once the division and department chairpersons have received their respective budget allocations, the Vice President for Fiscal Affairs monitors expenditures and revenues. If amendments are required, the Vice President for Fiscal Affairs, with the approval of the President, will submit the requested budget amendments to the USG System Office (*Dalton State College Statutes*, Article I, p. 8; *Board of Regents Policy Manual*, Section 702.03).

**6.3.4 (5 of 5)  
Changes  
Communicate  
d to Those  
Affected**

The Vice President for Fiscal Affairs submits quarterly budget amendments to the USG System Office and monthly financial statements to each division and department head. The Vice President for Fiscal Affairs also notifies the division and department heads of any changes to the current fiscal-year budget.

#### Conclusion:

Dalton State College is in compliance with the *SACS Criteria*.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table  
6.3.4 Budget Control**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.3.4 (1 of 5).</b> AEFT the budget has been approved by the chief executive officer and adopted by the governing board, a system of control <b>must</b> be established. This ensures that the budgetary plans of the governing board and the chief executive officer will be implemented.</p>	<p>Compliance</p>	<p><i>Board of Regents Policy Manual, Section 702, "Finance and Business,"</i> &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;</p> <p>Monthly Expenditure Reporting: Department Heads and Division Chairpersons' Statements</p> <p>Board of Regents Monthly Financial Statements, 09/30/01, 10/31/01, 11/30/01</p> <p>FY 2001 Budget Approval</p> <p>FY 2001 Budget Amendments</p>
<p><b>6.3.4 (2 of 5).</b> The business officer <b>must</b> render interim budget statements on a periodic basis to department heads for their guidance in staying within budgetary allocations.</p>	<p>Compliance</p>	<p><i>Dalton State College Statutes, Article III. D. 3, p. 8</i></p> <p><i>Board of Regents Policy Manual, Section 702, "Finance and Business,"</i> &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;</p> <p>Monthly Expenditure Reporting: Department Heads/Division Chairpersons' Statements</p> <p>Board of Regents Monthly Financial Statements, 09/30/01, 10/31/01, 11/30/01</p> <p>FY 2001 Budget Approval</p> <p>FY 2001 Budget Amendments</p>

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.3.4 (3 of 5).</b> Budgetary control is an administrative function, not a board function.</p>	<p>Compliance</p>	<p><i>Dalton State College Notes to the Financial Statements</i>, June 30, 2001, pp. 8-10. <i>Board of Regents Policy Manual</i>, Section 702.03, &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;</p>
<p><b>6.3.4 (4 of 5).</b> Necessary budget revisions <b>must</b> be made when actual conditions require such change.</p>	<p>Compliance</p>	<p><i>Dalton State College Statutes</i>, Article I, p.8.  <i>Board of Regents Policy Manual</i>, Section 702.03, Finance and Business, &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;  Budget amendment reporting  Monthly expenditure reporting: department heads' and division chairpersons' statements  Board of Regents monthly financial statements, 09/30/01, 10/31/01, 11/30/01  FY 2001 Budget Approval  FY 2001 Budget Amendments</p>
<p><b>6.3.4 (5 of 5).</b> [Necessary budget revisions] <b>must</b> be communicated to those affected within the institution.</p>	<p>Compliance</p>	<p><i>Dalton State College Statutes</i>, Article I, p. 8  Budget Progress Report Summary in Department Heads/Division Chairpersons Offices  Board of Regents Monthly Financial Statements, 09/30/01, 10/31/01, 11/30/01  FY 2001 Budget Approval  FY 2001 Budget Amendments</p>

## 6.3.5: External Budgetary Control

### Presentation of Findings

The Governor appoints and the Senate approves Board of Regents of the University System of Georgia members, who serve seven-year terms subject to reappointment. The Board provides budgetary leadership and guidance through the USG System Office.

#### 6.3.5 (1 of 2) Controlling Expenditures

Except for special program allocations, the Board of Regents provides a lump sum appropriation to the College and does not demand overly-specific control over the use of these funds at the College's operating level. The Board of Regents does provide specific allocations in areas such as tuition, salaries, and benefits. Once the funds have been allocated, Dalton State College has the authority, within the limits of funds allocated and estimated internal income, to develop the operating budget for educational and general activities and an operating budget for auxiliary enterprises for the fiscal year (*Board of Regents Policy Manual*, Section 702.02).

#### 6.3.5 (2 of 2) Educational Function Not Controlled by Budgetary Techniques

The State of Georgia appropriates funding to the Board of Regents for Dalton State College and all other institutions of the University System of Georgia (USG). The USG Board of Regents allocates funding from the State appropriation to the System institutions in two divisions: (1) educational and general operations, and (2) major repair and rehabilitation/capital funds, based upon operating budgets submitted by the presidents of the institutions. The *Board of Regents Policy Manual* defines institutional responsibilities for the budget and for the College's operations. The control and management of the budget is the responsibility of the President and his designated employees. Hence, since the College enjoys latitude in developing its annual budget and the President manages it, the College retains full control over the use of its operating budget (*Board of Regents Policy Manual*, Sections 204 and 702).

### Conclusion:

Dalton State College is in compliance with the *SACS Criteria*.

### Recommendations/Suggestions/Proposals:

None.

**Must Statement Compliance Table**

**6.3.5. The Relation of an Institution to External Budgetary Control**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting FY 2001 Documentation</b>
<p><b>6.3.5 (1 of 2).</b> Once funds have been appropriated, creating a budget, establishing priorities and controlling expenditures become the responsibility of the institution—operating under the jurisdiction of the governing board and subject to its policies.</p>	<p>Compliance</p>	<p><i>Board of Regents Policy Manual</i>, Sections 100, 702.02                      &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;                       FY 2001 Board of Regents Budget Approval                       FY 2001 Audit Report</p>
<p><b>6.3.5 (2 of 2).</b> Enforcement of budgetary law is imperative; however, the educational function of an institution <b>must</b> not be controlled through use of budgetary techniques or controls by financial officials outside the institution.</p>	<p>Compliance</p>	<p><i>Board of Regents Policy Manual</i>, Sections 204 and 702, &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;                       FY 2001 Board of Regents Budget Approval                       FY 2001 Audit Report</p>

**Section 6.3.6 Accounting, Reporting and Auditing**

Presentation of Findings

**6.3.6 (1, 4, and 5 of 14) Accounting System**

The Board of Regents of the University System of Georgia governs the accounting procedures of Dalton State College. As a not-for-profit public institution, the College is under the jurisdiction of the Government Accounting Standards Board (GASB). DSC follows generally accepted principles of institutional accounting as they appear in *College and University Business Administration*, published by the National Association of College and University Business Officers (NACUBO) and recognized by the American Institute of Certified Public Accountants (AICPA). DSC is not exempted from the use of required accounting systems and controls. The College provides revenue and expenditure reports consistent with NACUBO and AICPA publications (“2000

State of Georgia Department of Audits and Accounts, Dalton State College, Report on Review of the Financial Statements,” p. 1). The Vice President for Fiscal Affairs (VPFA) is responsible for preparing financial reports for appropriate institutional officials, the Board of Regents, and outside agencies. The Board of Regents receives quarterly financial reports, and the President of the College has free and continual access to these reports, which are maintained in the Business Office.

**6.3.6 (6 and 12 of 14) External Audit Report**

The State Department of Audits conducts an annual fiscal-year audit. The results of these audits are available in the office of the Vice President for Fiscal Affairs in a report titled “Report on Review of the Financial Statements of Dalton State College.” The University System of Georgia also includes Dalton State College in its audited financial report. The auditors are independent of the University System of Georgia and employ *Audits of Colleges and Universities* guidelines published by the American Institute of Certified Public Accountants.

**6.3.6 (13 of 14) Internal Audit**

The Vice President for Fiscal Affairs is the internal auditor for the College and follows the procedures established by the Board of Regents and the State Department of Audits to maintain proper internal auditing and financial control. The Board of Regents’ Office of Internal Audit Services performs an annual written risk assessment to evaluate DSC’s system of internal controls. The Internal Audit Division also conducts an internal audit approximately every other year, reporting its findings directly to the Board of Regents.

**Conclusion:**

Dalton State College is in compliance with all SACS criteria, Section 6.3.6.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table**  
**6.3.6. Accounting, Reporting and Auditing**

Must Statement	Compliance Statement	Supporting Documentation
<b>6.3.6 (1 of 14).</b> An institution <b>must</b> adopt an accounting system that follows generally accepted principles of institutional accounting as they appear in <i>College and University Business Administration</i> , published by the National Association of College and University Business Officers.	Compliance	FY 2001 Financial Reports FY 2001 State Audit Report <i>Board of Regents Policy Manual</i> , Section 700
<b>6.3.6 (2 of 14).</b> Institutions exempted from use of the required accounting system <b>must</b> arrange to provide comparable information.	Not Applicable	
<b>6.3.6 (3 of 14).</b> All proprietary institutions <b>must</b> provide revenue/expenditure reports consistent with NACUBO/AICPA publications, either independently certified in the audit report or included as supplemental data in the audit report.	Not Applicable	
<b>6.3.6 (4 of 14).</b> The chief business officer <b>is responsible</b> for preparing financial reports for appropriate institutional officials, board officers and outside agencies.	Compliance	Job Description of the Vice President for Fiscal Affairs
<b>6.3.6 (5 of 14).</b> Periodic written reports to the chief executive officer of the institution <b>are</b> essential.	Compliance	Monthly Financial Reports
<b>6.3.6 (6 of 14).</b> An annual fiscal year audit <b>must</b> be made by independent certified public accountants, or an appropriate government auditing agency, employing as a guide for institutions under the jurisdiction of the Financial Accounting Standards Board (FASB), <i>Audits of Not-For-Profit Organizations</i> , published by	Compliance	FY 2001 State Audit Report Reports on Review of the Financial Statements of Dalton State College, 1997-2001



Must Statement	Compliance Statement	Supporting Documentation
<p>the American Institution of Certified Public Accountants (AICPA), or, for institutions under the jurisdiction of the Government Accounting Standards Board (GASB), <i>Audits of Colleges and Universities</i>, also published by the American Institute of Certified Public Accountants (AICPA), or, in the case of for-profit institutions, conducted in accordance with generally accepted accounting principles.</p>		
<p><b>6.3.6 (7 of 14).</b> If an institution is subject to Statement of Financial Accounting Standard (SFAS) No. 117 and elects to use the single column ACorporate@ Statement of Financial Position in its report, it <b>must</b> provide an additional Statement of Financial Position using one of the four highest levels of disaggregation illustrated in F.A.R.M.</p>	<p>Not Applicable</p>	
<p><b>6.3.6 (8 of 14).</b> The additional statement <b>must</b> be included either in the audit report as an audited supplemental schedule or independently certified if not included in the audit report</p>	<p>Not Applicable</p>	
<p><b>6.3.6 (9 of 14).</b> A for-profit institution and its corporate parent, if any, <b>must</b> add to their audit report a separate schedule indicating the disposition of profits, including detailed information on corporate income taxes paid, both state and federal, and on dividends distributed to stockholders.</p>	<p>Not Applicable</p>	
<p><b>6.3.6 (10 of 14).</b> A public institution included in a statewide or system-wide audited financial report, for which a separate institutional audit report is not available for the fiscal year ending immediately prior to the committee</p>	<p>Not Applicable</p>	

Must Statement	Compliance Statement	Supporting Documentation
visit, <b>must</b> have available, in lieu of audited financial statements, a Standard Review Report in accordance with AICPA Professional Standards AR 100.35 to include current funds expenditure classifications and amounts in accordance with generally accepted principles of institutional accounting, and the institution's current fund balance sheet.		
<b>6.3.6 (11 of 14).</b> Institutions in this category <b>must</b> provide either a separate or a consolidated balance sheet.	Not Applicable	
<b>6.3.6 (12 of 14).</b> The auditors <b>must</b> not be directly connected with the institution either personally or professionally.	Compliance	FY 2001 State Audit Report
<b>6.3.6 (13 of 14).</b> An effective program of internal auditing and financial control <b>must</b> be maintained to complement the accounting system and the annual external audit.	Compliance	Board of Regents' Office of Internal Audit Services Risk Evaluation Plan  <i>Board of Regents Policy Manual, Section 700</i>
<b>6.3.6 (14 of 14).</b> However, in those cases in which a public institution's financial report is included a part of a comprehensive certified state or system financial report and a separate annual audited report is not available, the institution <b>must</b> have an established procedure to ensure the effectiveness of internal controls.	Not Applicable	

## 6.3.7 Purchasing and Inventory Control

### Presentation of Findings

#### 6.3.7 (1 of 1) Control Over Purchasing and Inventory

Dalton State College (DSC) maintains proper control over purchasing and inventory management through its Purchasing Department, whose employees follow guidelines mandated by the State Department of Administrative Services (DOAS), the Board of Regents of the University System of Georgia, and the Georgia Technology Authority. The College's *Purchasing Procedures Manual*, which is updated annually, outlines the requirements concerning quotations and bids for the purchase of commodities and services at specified dollar thresholds.

Items not requiring quotations or bids are purchased through the Dalton State College Purchasing Card Program, designed so that DSC employees may transact small-dollar purchases for supplies and materials more efficiently. Division and department chairpersons supervise the use of purchasing cards by their employees and evaluate the cards' activity on a monthly basis. The card's use is intended to simplify and streamline the purchasing process, to lower overall transaction costs, and to reduce paperwork by eliminating requisitions and purchase orders for eligible Card Program items. Purchases utilizing the purchasing card are limited to \$2,499.99 per single transaction, with no single item on that transaction costing more than \$999.99. The Purchasing Card Program does not alter State Purchasing or DSC rules and regulations and is audited by DSC's purchasing personnel. Personal purchases are prohibited.

The Purchasing Department is responsible for receiving all purchased materials and supplies and for transferring them to the responsible department, except for purchasing card items, which are delivered directly to the card-holder.

Personnel in Central Receiving apply bar-coded tag numbers to equipment with an acquisition value of \$5,000 or more. Paperwork supporting the acquisitions is transmitted to the Office of Fiscal Affairs, where staff members process payment with proper documentation. Upon payment of the purchase order, the property manager enters the purchase in the Asset Management module of the College's accounting system. The accounting system automatically assigns an asset ID number, and the property manager completes a thorough verification of equipment inventory every other year, in addition to spot-checking annually.

Surplus equipment is considered eligible for transfer to another state agency or an approved agency of DOAS Surplus Property. Working equipment not transferred to qualified agencies is bid out to vendors and sold to the highest bidder. Non-working equipment is sold to DOAS contract vendors for recycling. Equipment not processed in this manner is transferred to DOAS Surplus Property. Equipment inventory is balanced and verified with the accounting records at the end of the fiscal year and reported to the Vice President for Fiscal Affairs.

The Purchasing Department staff conducts a physical inventory of DSC’s Central Stores at the end of each fiscal year. Items housed in Central Stores are maintained in a secure, well-organized area and are inventoried with appropriate safeguards for all supplies.

Property control outside the Purchasing Department is the responsibility of unit administrators. Department heads are responsible for all property items on their inventory lists and must report to the property manager in the Purchasing Department any loss, theft, trade-ins, transfers, obsolescence, or other change, as the changes in the property status occur. Trade-ins with approval must be requested on the purchase order for replacement of the equipment, and DOAS Surplus Property must pre-approve trade-ins. After DOAS approval for purchase, trade-in, and receipt of the equipment is completed, the receiving administrator issues a transfer form to DOAS, which then retires the original asset.

The property manager in the Purchasing Department continually updates additions, transfers, and deletions of equipment in the inventory records during the fiscal year.

**Conclusion:**

The evidence presented in this section demonstrates that Dalton State College maintains proper control over purchasing and inventory management. Dalton State College is in compliance with the *SACS Criteria*, Section 6.3.7.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table  
6.3.7 Purchasing and Inventory Control**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.3.7 (1 of 1).</b> An institution <b>must</b> maintain proper control over purchasing and inventory management.</p>	<p>Compliance</p>	<p><i>Board of Regents Policy Manual; Section 707, &lt;<a href="http://www.usg.edu/admin/policy">http://www.usg.edu/admin/policy</a>&gt;</i></p> <p><i>Dalton State College Purchasing Manual</i></p> <p><i>DSC Purchasing Card Manual</i></p>

Must Statement	Compliance Statement	Supporting Documentation
		<p>DOAS – Department of Administrative Services, Statewide Purchasing Agency for the State of Georgia website &lt;<a href="http://www.doas.state.ga.us/">http://www.doas.state.ga.us/</a>&gt;</p> <p>Vendor Manual “Conflict of Interest” website &lt;<a href="http://www.doas.state.ga.us/">http://www.doas.state.ga.us/</a>&gt;</p> <p>FY 2001 Board of Regents’ Risk Evaluation/Annual Audit Plan</p> <p><i>DSC Fiscal Affairs Policy and Procedures Manual</i></p> <p>FY 2001 Equipment Inventory Summary</p> <p><i>FY 2001 Central Stores Inventory Catalog</i> (Available: Campus M-drive)</p>

**Refund Policy**

**Presentation of Findings**

**6.3.8 (1-2 of 2)  
Procedure for Refunding Fees and General Refunding Policies**

Dalton State College’s mandatory student fees, charges, and refund policies comply with all federal requirements. Non-refundable fees include the application fee, the late registration fee, and the transportation/parking fee. Refundable fees include the matriculation fee, the student activity fee, and the technology fee. The College provides refunds for official, complete withdrawal from all classes. Partial refunds are also processed for students who drop one or more classes, but not all, before the official first day of the semester. Complete withdrawals following advance registration must be accomplished prior to the first day of class to be entitled to a 100 percent refund. Refunds are not available for course reductions (dropping classes) by students on or after the official first day of the semester. *The Dalton State College 2001-2002 Catalog and Student Handbook* provides information on the refund policy (pp. 33 and 34), and the web

site for the Office of the Vice President for Fiscal Affairs also provides this information (<http://www.daltonstate.edu/comptrol.htm>).

These policies and procedures are applicable to all students and conform to the refund policies mandated by the Board of Regents.

Students receiving Title IV funds are required to follow guidelines for return of funds as published in the *DSC Catalog* and in a handout available through the Office of Student Financial Aid. These policies and procedures are applicable to all students and conform to refund policies in the higher education community and applicable federal guidelines for student financial aid.

**Conclusion:**

Dalton State College is in compliance with the *SACS Criteria*, Section 6.3.8.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table  
6.3.8 Refund Policy**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<b>6.3.8 (1 of 2).</b> The institution <b>must</b> adhere to a published policy and procedure for refunding fees and charges to students who withdraw from enrollment.	Compliance	<i>Board of Regents Policy Manual</i> , Section 704.04, < <a href="http://www.usg.edu/admin/policy">http://www.usg.edu/admin/policy</a> >  Dalton State College’s website – Office of Fiscal Affairs, < <a href="http://www.daltonstate.edu/comptrol.htm">http://www.daltonstate.edu/comptrol.htm</a> >  <i>Dalton State College 2001-2002 Catalog and Student Handbook</i> , pp. 33-34
<b>6.3.8 (2 of 2).</b> The policy and procedure <b>must</b> be in keeping with general accepted refund practices in the higher education community, applicable to all students, and clearly stated in appropriate official publications.	Compliance	<i>Board of Regents Policy Manual</i> , Section 704.04, < <a href="http://www.usg.edu/admin/policy">http://www.usg.edu/admin/policy</a> >  <i>Dalton State College 2001-2002 Catalog and Student Handbook</i> , pp. 33-34

Must Statement	Compliance Statement	Supporting Documentation
		"Return of Title IV Funds Policy for Students Receiving Federal Financial Aid at Dalton State College"

**Cashiering**

**Presentation of Findings**

**6.3.9 (1-3 of 3)  
Management  
of Funds,  
Safeguarding  
of Funds, and  
Adequately  
Bonded**

Dalton State College follows accepted procedures for the management of all institutional funds, making use of the accounting software Peoplesoft. The Office of Fiscal Affairs is the centralized location for cashiering functions. Fiscal Affairs personnel follow a careful system of receipting, depositing, and safeguarding all funds (*DSC Fiscal Affairs Policy and Procedures Manual*). Authorized personnel deposit all funds at a local bank through daily deposits and electronic fund transfers within twenty-four hours of receipt. All personnel handling the College’s funds are adequately bonded by the State.

The State Department of Audits performs annual audits of the Office of Fiscal Affairs. The auditing agencies submit all findings and/or recommendations to the Board of Regents, the President, and the Vice President for Fiscal Affairs. The Board of Regents also conducts annual assessments of internal operations.

**Conclusion:**

Dalton State College is in compliance with the *SACS Criteria*, Section 6.3.9.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table  
6.3.9 Cashiering**

Must Statement	Compliance Statement	Supporting Documentation
<p><b>6.3.9 (1 of 3).</b> There <b>must</b> be a suitable organization and adequate procedures for the management of all funds belonging to the institution.</p>	<p>Compliance</p>	<p><i>Board of Regents Policy Manual, Section 708.02,</i> &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;</p>

Must Statement	Compliance Statement	Supporting Documentation
		<i>DSC Fiscal Affairs Policy and Procedures Manual</i>
<p><b>6.3.9 (2 of 3).</b> The cashiering function should be centralized in the business office, and there <b>must</b> be a carefully developed system for the receipt, deposit and safeguarding of institutional funds.</p>	Compliance	<p>FY 2001 Money and Securities Certificate</p> <p>FY2001 Department of Administrative Services Risk Management Accounting Casualty Premiums Invoice</p> <p>FY2001 State of Georgia Property Insurance All Risk Certificate &amp; Endorsement Form</p> <p>FY 2001 Board of Regents Risk Evaluation/Annual Audit Plan</p>
<p><b>6.3.9 (3 of 3).</b> All persons handling institutional funds <b>must</b> be adequately bonded.</p>	Compliance	<p>FY 2001 Department of Administrative Services Risk Management Accounting Casualty Premiums Invoice</p>

**Section 6.3.10: Investment Management**

**Presentation of Findings**

6.3.10 (1-2 of 2) Investment Policies

Dalton State College's (DSC) Investment Policy states that the primary goal of the College's short-term investments is to provide a competitive current return while preserving the value and safety of the principal and maintaining the liquidity appropriate to the forecasted working capital requirements of the College (Dalton State College Investment Policy; *Board of Regents Policy Manual*, Section 705.02). All short-term investments are deposited in a local bank that is FDIC insured. Funds are also deposited through the Local Government Investment Pool, a State of Georgia administered fund. The maximum maturity of a certificate of deposit is one year (DSC Investment Policy). The State Department of Audits and the USG Board of Regents' Internal Audit Staff audit



all investments, including certificates of deposit and checking accounts (DSC Investment Policy; *Board of Regents Policy Manual*, Sections 705.01 and 705.02).

The Dalton State College Foundation manages endowment investments. DSC has a cooperative organization agreement with the Foundation to hold funds for endowed chair positions and for planned future endowments. The Foundation funds are not part of, or a division of, the College’s operations. (Cooperative Organization Agreement between DSC and the DSC Foundation).

The University System Board of Regents establishes investment policies for all institutions in the University System of Georgia, and evaluation of those policies is a function of the Board.

**Conclusion:**

Dalton State College is in compliance with institutional and state policies regarding investment management and with the *SACS Criteria*.

**Recommendations/Suggestions/Proposals:**

None

**Must Statement Compliance Table  
6.3.10 Investment Management**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.3.10 (1 of 2).</b> The institution <b>must</b> have a written statement of its investment policies and guidelines approved by the board.</p>	<p>Compliance</p>	<p>Dalton State College Investment Policy  FY 2001 Board of Regents Risk Evaluation/Annual Audit Plan  FY 2001 State Department of Audits Review  <i>Board of Regents Policy Manual</i>; Sections 705.01 and 705.02 &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;  Cooperative Organization Agreement between DSC and the DSC Foundation, 4/10/01</p>
<p><b>6.3.10 (2 of 2).</b> Investment policies and guidelines <b>must</b> be evaluated regularly</p>	<p>Compliance</p>	<p>Dalton State College Investment Policy  FY 2001 Board of Regents Risk Evaluation/Annual Audit Plan</p>

Must Statement	Compliance Statement	Supporting Documentation
		FY 2001 State Department of Audits Review  <i>Board of Regents Policy Manual;</i> Sections 705.01 and 705.02: < <a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a> >

### 6.3.11 Risk Management and Insurance

#### Presentation of Findings

**6.3.11 Risk Management and Insurance**

Dalton State College has a comprehensive self-insured risk management program for property and casualty risks through the Georgia Department of Administrative Services (DOAS). The Director of Plant Operations, the Director of Public Safety, and the Vice President for Fiscal Affairs work in conjunction with the Board of Regents of the University System of Georgia and DOAS to manage these programs. The Director of Plant Operations, the Director of Public Safety, Board of Regents staff, and DOAS officials coordinate, and provide the training associated with, environmental health and safety activities.

The Vice President for Fiscal Affairs has the overall responsibility for risk management operations, including administration, compliance, implementation, and audits. The Purchasing Office is also involved with Material Safety Data Sheets (MSDS). These fact sheets summarize information about material identification; hazardous ingredients; health, physical, and fire hazards; first aid; chemical reactions and incompatibilities; spill, leak, and disposal procedures; and protective measures required for safe handling and storage. OSHA has established guidelines for descriptive data that should be concisely provided on the data sheets to serve as the basis for written hazard communication programs. Each year all faculty and staff (including student workers) review and become certified in the correct handling of hazardous materials (FY 2001 DOAS Property, Vehicle, and All Risk Documentation).

The Department of Administrative Services is charged with the responsibility of minimizing the adverse effects of accidental losses that involve State government assets. Dalton State College, as a unit of the Board of Regents of the University System of Georgia, is part of the State of Georgia reporting entity, and as such, is covered by the State of Georgia risk management program administered by DOAS. This program processes claims for risk of loss to which the State is exposed, including general liability, property and casualty, workers' compensation, unemployment compensation, and law enforcement officers' indemnification. Premiums for the risk management program are paid by the

College to DOAS (DOAS Insurance Policies and Invoices; *Board of Regents Policy Manual*, Section 708).

The Board of Regents of the University System of Georgia, under powers authorized by the Official Code of Georgia Annotated Section 45-9-1, established a self-insured program of professional liability for all employees. This program insures the employees against personal liability for damages arising out of the performance of their duties. DOAS administers this program as a Self-Insurance Fund (FY 2001 State Department of Audits Review; *Board of Regents Policy Manual*, Section 708.01 and 708.02).

**Conclusion:**

Dalton State College is in compliance with the *SACS Criteria*.

**Recommendations/Suggestions/Proposals:**

None.

**Section 6.3.12: Auxiliary Enterprises**

**Presentation of Findings**

Section 6.3.12  
(1 of 1)

Dalton State College provides support services for its educational programs through auxiliary enterprises, which include the DSC Bookstore and Food Service, both of which the College owns. Only revenue from the cash sale of goods and services finances these operations. State appropriations or other general revenues cannot be used for financial support of auxiliary enterprises (*Board of Regents Policy Manual*, Section 702.02). The Vice President for Fiscal Affairs submits the auxiliary enterprise budget, with the President's approval, to the Board of Regents each May as part of its institution's budget process.

The Vice President for Fiscal Affairs governs and administers all financial, budgeting, and management issues relating to auxiliary enterprises. The DSC Bookstore and Food Service managers report directly to the Vice President for Fiscal Affairs, who processes their monthly reports of income and expenses. Funds collected from auxiliary enterprises are used to provide the best possible services for the College. Collected funds from Auxiliary Enterprises are retained by the institution (*Board of Regents Policy Manual*, Section 702.0102), and a reserve fund is maintained for repair and replacement of auxiliary assets. To assure efficiency, economy, and service, each manager meets with the Vice President for Fiscal Affairs for an annual review of operations.

The same audit agencies which audit educational and general operations also audit the auxiliary enterprises.

**Conclusion:**

Dalton State College is in compliance with the *SACS Criteria*.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table**  
**6.3.12 Auxiliary Enterprise**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.3.12 (1 of 1).</b> These activities, when operated by or for the institution, <b>must</b> be documented and operated in a fiscally responsible manner.</p>	<p>Compliance</p>	<p>FY 2001 Auxiliary Enterprises Budget Summary</p> <p>FY 2000 Auxiliary Enterprises Operation Document</p> <p>FY 2000 Auxiliary Enterprises Annual Financial Report</p> <p>FY 1999 Auxiliary Enterprises Annual Financial Report</p> <p><i>Board of Regents Policy Manual;</i> Section 702.0102, &lt;<a href="http://www.usg.edu/admin/policy/">http://www.usg.edu/admin/policy/</a>&gt;</p>

## 6.4 Physical Resources

### Introduction

#### 6.4 (1 of 1) Adequate Physical Resources

Dalton State College's campus occupies a 136-acre contiguous tract. The terraced, linear-configured campus runs parallel to Interstate Highway 75 on the east and to a heavily wooded mountain ridge on the west. The beautifully landscaped campus contains a wide array of evergreen and hardwood trees. Attractive natural areas with seasonal plantings are located throughout the campus and contribute to the natural woodland setting of the College.

Dalton State College offers courses at a number of off-campus sites also: Appalachian Technical College and Coosa Valley Technical College, which are units of the Georgia Department of Technical and Adult Education; and a leased facility in the Ft. Oglethorpe, Georgia, City Hall, which serves as the "Catoosa Center" for Dalton State College. In addition, the College provides limited course offerings at Murray County High School.

### Presentation of Findings

Nine existing buildings, including administration, library, gymnasium, maintenance, student center, and four classroom/lab facilities, comprise the DSC physical plant. The College will complete a 28,000 square foot addition to the library in mid-2002. Presently, Westcott Hall, the administration building, houses the Center for Continuing Education, while a new Continuing Education building awaits funding.

All structures on the DSC campus are well maintained and are in excellent condition. The "1999-2000 Faculty Survey" asked a number of questions concerning physical resources, including the buildings and equipment and their adequacy for serving the needs of the College as they relate to the purpose, programs, and activities of DSC. Ninety-seven percent of the faculty agreed or strongly agreed that the physical facilities supported the instructional program for their divisions. Ninety-four percent stated that the physical environment contributed to an atmosphere conducive to effective learning. Further, 90 percent found the environment a factor contributing to effective job performance, and 94 percent found the environment in which they worked to be satisfactory ("1999-2000 Faculty Survey," p. 13 and pp.21-22). Graduating students, in the most recent survey, rated the classroom and teaching facilities as good or excellent (52 percent and 40 percent, respectively) ("2000-2001 Graduating Student Survey, p. 23). These results indicate that those who teach and those who learn at DSC believe the physical resources are adequate to serve the needs of the institution and its mission of providing an environment in which education is best served.

**Table 6.4.1**  
**To support my division/department's instructional program,**  
**the College provides:**

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Don't Know/No Opinion</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
86. Adequate physical facilities	36 52%	31 45%	0 0%	2 3%	0 0%

Source: "DSC 1999-2000 Faculty Survey Results," p. 13

**Table 6.4.2**  
**Faculty Survey Information**  
**Regarding Physical Environment**

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Don't Know/No Opinion</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
152. The physical environment at DSC contributes to an atmosphere conducive to effective learning.	33 48%	32 46%	1 1%	3 4%	0 0%
153. The physical environment at DSC contributes to an atmosphere for effective job performance.	31 45%	31 45%	3 4%	4 6%	0 0%
154. The physical environment in which I work is satisfactory.	30 43%	35 51%	2 3%	2 3%	0 0%

Source: "DSC 1999-2000 Faculty Survey Results," pp. 21-22

**Table 6.4.3**  
**Student Survey 2001**

**How would you rate the quality of each of the following aspects of the College?**

64. Classroom and teaching facilities:		
Fair	10	5%
Good	96	52%
Excellent	74	40%
No reply	5	3%

Source: "DSC 2000-2001 Graduating Student Survey Results," p.23

The physical resources of Appalachian Technical College and Coosa Valley Technical College are maintained by their staff members, who operate under the control of their respective administrations. The Catoosa Center’s physical resources are maintained by the owner as stipulated in the lease agreement. Dalton State College employs site coordinators, under the supervision of the Vice President for Academic Affairs, to supervise and support the College’s program at each institution.

**Conclusion:**

DSC is in compliance with *SACS Criteria*, Section 6.4.

**Recommendations/Suggestions/Proposals:**

**Recommendations/Suggestions:**

None.

**Proposal:**

The Committee proposes that the College annually convene a meeting of division chairpersons, the Vice President for Fiscal Affairs, and the Director of Plant Maintenance to address any concerns that might arise related to the effect of physical resources upon the teaching and learning environment.

**Must Statement Compliance Table  
6.4 Physical Resources**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.4 (1 of 1).</b> Physical resources including buildings and equipment both on and off campus <b>must</b> be adequate to serve the needs of the institution in relation to its stated purpose, programs and activities.</p>	<p>Compliance</p>	<p><i>Dalton State College 2001-2002 Catalog and Student Handbook</i>, (map), p. 337.</p> <p>“1998 Physical Master Plan” Dalton State College 2000-2003 StrategicPlan, &lt;<a href="http://www.daltonstate.edu/irp/stratplan.htm#masterplan">http://www.daltonstate.edu/irp/stratplan.htm#masterplan</a>&gt;</p> <p>“1999-2000 Faculty Survey,” pp. 13, 21-22</p> <p>“2000-2001 Graduating Student Survey,” p. 23</p> <p>Lease Agreement for Catoosa Center</p>

## 6.4.1 Space Management

### Presentation of Findings

**6. 4.1 (1 of 1)  
Allocation of  
Space**

Because Dalton State College is primarily a teaching institution, its top priority in space allocation is, of course, classroom space. Academic needs determine how space is utilized, and this space allocation must be balanced with competing needs. The College's *Physical Master Plan*, its *FY 2003-2007 Minor Capital Projects Request*, as well as the *Board of Regents Guidelines for Preplanning* provide guidance for the management and allocation of space. Utilizing the above guidelines, the President and the Strategic Planning Committee include space allocation in development and updating of the *Dalton State College Physical Master Plan*.

Five of the College's nine buildings (Sequoia Hall, Gignilliat Memorial Hall, the Technical Building, the Lorberbaum Liberal Arts Building, and Bandy Gymnasium) are devoted almost exclusively to instruction. Westcott Hall houses the Office of the President, the Office of the Vice President for Enrollment Services, the Office of the Vice President for Fiscal Affairs, and the Center for Continuing Education. The remaining three buildings are the Pope Student Center, the Derrell C. Roberts Library, and the Maintenance Building. Further information about the contents and use of each of the nine buildings can be found in Table 6.4.1-1.



Table 6.4.1-1

	<b>Lorberbaum Liberal Arts Building</b>	<b>Sequoia Hall</b>	<i>Westcott Hall</i>	<b>Gignilliat Memorial Hall</b>	<b>Bandy Gym</b>	<i>Technical Building</i>	<b>Pope Student Center</b>	<i>Roberts Library (and Addition)</i>	<b>Maintenance Building</b>	<b>Total</b>
<b>Square Footage</b>	50,671	48,937	21,133	30,191	29,411	62,664	43,722	31,323 (28,000)	17,405	335,457 (28,000)
<b>Main Function</b>	Instruction	Instruction	Administration	Instruction	P.E. Instruction	Instruction	Student Services	Library	Maintenance and Receiving	
<b>Secondary Function</b>	Offices and computer laboratories	Offices and Science Laboratories	Continuing Education and Administration	Offices and laboratories, Computer Center Operations	Continuing Education classes; Student Activities	Continuing Education classes; Community Activities	Food Services; Bookstore; Recreation	Media Center; Computer Services	Warehousing	
<b>Number of Classrooms</b>	18	11	0	8	2	19	0	0	0	58
<b>Number of Offices</b>	55	35	21	48	6	19	12	3	3	202
<b>Number of Labs</b>	10	9	0	0	0	17	1	1	0	38
<b>Number of Restrooms</b>	6	6	3	6	6	8	7	4	2	48
<b>Number of Admin. Or Division Chairpersons</b>	2	2	4	6	1	3	6	1	3	28
<b>Number of Faculty</b>	35	32	0	9	2	23	0	0	0	101
<b>Number of Staff</b>	3	3	26	14	0	2	28	8	5	89
<b>Number of Custodians</b>	2	2	1 (shared)	1	1	2	2	1	1 (shared)	12

	<b>Lorberbaum Liberal Arts Building</b>	<b>Sequoia Hall</b>	<b>Westcott Hall</b>	<b>Gignilliat Memorial Hall</b>	<b>Bandy Gym</b>	<b>Technical</b>	<b>Pope Student Center</b>	<b>Roberts Library (and Addition)</b>	<b>Maintenance</b>
<b>Special Features</b>	Basic Skills Lab Writing Lab Language Lab Math Lab Reading Lab Fine Arts Lab Computer Labs Conference Rooms	Physics Lab Chemistry Lab Biology Lab Tech. Lab Lecture Hall Computer Labs Nursing Lab	Conference Rooms (5)	Auditorium Lecture Hall CIMS Lab Computer Center	Swimming Pool Weight Room Basketball Court Racquetball Courts Tennis Courts Fitness Trail Athletic Field Walking Trail	Auto Mech. Repair Shop Welding Shop Computer Labs (3) Drafting & Design Lab Typing Lab EMS Rad Tech	Dining Room Career Resource Center	Archives Collection Special Collections Room Adaptive Technology Lab	Carpentry Shop, Plumbing Shop, Small Engine Repair Shop, HVAC Repair Shop

In addition to classroom space for the majority of its students, who are in associate degree and certificate programs, Dalton State College also provides space for students in its own four-year degree programs as well as those in the external four-year and master's level programs that the State University of West Georgia (SUWG) offers. The College also provides office space for West Georgia staff and faculty.

The College experienced substantial enrollment growth in the past decade, having reached a record headcount enrollment of 3,647 in the 2001 Fall Semester. However, classroom space on campus doubled with the completion of the new Lorberbaum Liberal Arts Building just in advance of this increase. The expansion of the Roberts Library will also help to accommodate this growth, and the College has increased the number of parking spaces available in anticipation of the increase in enrollment.

### Conclusion

Immediate College needs, based upon institutional functions, determine space allocation. However, strategic planning, based upon anticipated needs of the service area and resulting growth in the College's degree offerings, determines priorities for additional construction and/or renovation. The College occasionally renovates buildings, and some have been converted from one function to another to meet space needs.

At the present time and for the foreseeable future, Dalton State College is in compliance with the *SACS Criteria* Section 6.4.1 concerning space management.

### Recommendations/Suggestions/Proposals:

None.

**Must Statement Compliance Table  
6.4.1 Space Management**

Must Statement	Compliance Statement	Supporting Documentation
<p><b>6.4.1 (1 of 1).</b> Space allocated to any institutional function <b>must</b> be adequate for the effective conduct of that function.</p>	<p>Compliance</p>	<p>Dalton State College FY 2003-2007 Minor Capital Projects Request</p> <p>Distribution of Square Footage Report</p> <p>USG Board of Regents Guidelines for Preplanning</p> <p>FY 2002 Major Renovation and Rehabilitation Report</p> <p><i>DSC 1998 Physical Master Plan</i></p>

## 6.4.2 Buildings, Grounds and Equipment Maintenance

### Presentation of Findings

#### 6.4.2 (1-3 of 3) Routine, Preventative and Deferred Maintenance

Dalton State College's Physical Plant Department maintains the buildings and grounds, placing emphasis on safety and security. The Physical Plant Department staff inspects campus facilities regularly and makes repairs in a timely manner (*DSC Preventive Maintenance Manual*, "Preventive Maintenance Program List," Section I, p. 4). Preventive Maintenance includes adjustments, replacements, and inspections of equipment. In some cases, preventive maintenance may include repairs. Utilization of a computer-generated preventive maintenance schedule ensures that all facilities requiring immediate and deferred maintenance are systematically inspected (*DSC Preventive Maintenance Manual*, Section III). Utilization of a computer-generated preventive maintenance schedule ensures that all portions of the physical facility are systematically inspected for immediate and deferred maintenance on a regularly scheduled basis. This schedule serves as a preventive maintenance plan and documents the maintenance of equipment and facilities.

On a larger scale, the *Dalton State College Physical Master Plan* uses a five-year schedule to determine what the College will include as projects in the five-year "Capital Outlay List" and when each project fits into the scheme. Dalton State College updates the *Master Plan* every five years, and updates both the "Major Capital and Minor Capital Outlay Lists," which include significant deferred maintenance projects, annually (*DSC Physical Master Plan*).

"Major Repair and Rehabilitation" (MRR) is an annual document listing needed expenditures for roofing, heating, ventilation systems, air conditioning, plumbing, and electrical needs. The President requests funding for these expenses in priority order each annual budget cycle, and the Board of Regents subsequently provides funds, contingent upon availability.

#### Conclusion:

DSC has a comprehensive preventive and deferred maintenance plan; however, the committee found no evidence of annual plan evaluation.

#### Recommendations/Suggestions/Proposals:

##### Recommendation:

**6.4.2 (3 of 3).** *The [maintenance] plan must be operational and evaluated annually.*

The committee recommends that the College annually evaluate its maintenance plan. **Status:** See the *DSC Self-Study Report Addendum*-“Master List of Recommendations.”

**Must Statement Compliance Table**  
**6.4.2 Buildings, Grounds, and Equipment Maintenance**

<b>Must Statement</b>	<b>Compliance</b>	<b>Supporting Documentation</b>
<p><b>6.4.2 (1 of 3).</b> An institution <b>must</b> have a plan for the upkeep of its property.</p>	Compliance	<p><i>Preventive Maintenance Manual</i>, Section I, p. 3, Goals and Objectives.</p> <p><i>Preventive Maintenance Manual</i>, Section I, pp. 4-13.</p> <p>Inspection Forms, Section III, pp. 2-3. (See samples of work performed Section II, for Buildings, Grounds, and Equipment).</p> <p><i>DSC 1998 Physical Master Plan</i></p> <p><b>Capital Outlay List</b></p> <p>Minor Outlay List</p> <p>Major Repair &amp; Rehabilitation Requests, 2001-2002</p>
<p><b>6.4.2 (2 of 3).</b> At a minimum, the plan <b>must</b> address routine, preventative and deferred maintenance of buildings, equipment and grounds.</p>	Compliance	<p><i>Preventive Maintenance Manual</i></p>
<p><b>6.4.2 (3 of 3).</b> The plan <b>must</b> be operational and evaluated annually.</p>	Noncompliance	<p>Annual Maintenance Reports Book, and computer data files on the Plant Operations I-drive.</p>

### 6.4.3 Safety and Security

#### Presentation of Findings

6.4.3 (1 of 3)  
Healthful, Safe,  
and Secure  
Environment

The Director of Plant Operations, the Director of Public Safety, the Vice President for Fiscal Affairs, and other designated employees work together to provide a healthful, safe, and secure environment at Dalton State College. The College complies with federal and state laws, and the University System of Georgia (USG) provides guidance and leadership concerning these matters. Emergency plans and hazardous materials management guidelines are in place; however, DSC does not have an active, comprehensive plan at this time.

#### Public Safety

Dalton State College public safety officers are certified through the Georgia Peace Officers Standards and Training Council and have complete police authority to apprehend and arrest anyone involved in illegal acts on and immediately adjacent to the Dalton State College campus. Officers patrol the campus twenty-four hours a day, seven days a week.

The Director of Public Safety reports to the Vice President for Fiscal Affairs and administers a staff of six full-time state-certified officers. All officers have completed formal training at the police academy for certification by the Georgia Peace Officers Standards and Training Council. Additionally, all officers receive at least twenty hours of in-service training annually as follows:

- Legal updates
- Crime prevention
- Firearm instructions and re-qualifications
- Defensive tactics
- Baton recertification
- Safety, fire, and evacuation response
- CPR/AED and First Aid.

*(Georgia Peace Officers Standards and Training Act, p 208).*

The Vice President for Fiscal Affairs and the Director of Public Safety distribute publications informing the campus community of safety and security measures. Faculty members in the Physical Education Department regularly offer First Aid/CPR and AED (Automated External Defibrillator) classes to faculty and staff. Between January 2001 and December 2001, 71 faculty and staff members were certified. With the exception of mini-certificate students, all DSC students complete First Aid/CPR/AED certification as one of their required courses for graduation. Three AED units are available on campus: one in the Westcott Building, one in the Liberal Arts Building, and one for Public Safety officers.

Before furniture is ordered for any area, a staff member from the Purchasing Office prepares layouts that comply with Americans with Disabilities Act (ADA) and fire marshal code specifications.

In regard to food safety, representatives from the Georgia Department of Human Resources periodically inspect the Food Services area at DSC and have consistently given the facility high ratings (*Food Service Establishment Inspection Report*). Food Service employees must pass drug tests and background checks, which are conducted by Public Safety, before being hired. The Department of Human Resources also observes the employees during an inspection of the facility.

The Office of Institutional Research recently conducted a survey, the results of which indicate that 95 percent of the faculty and staff are satisfied with DSC's efforts to provide a safe, healthy, and secure environment (Dalton State College 1999-2000 Faculty Survey, p. 22, Question 151).

**Table 6.4.3.1**

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Don't Know/ No Opinion</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
151. DSC takes reasonable steps to provide a healthy, safe, and secure environment for all members of the campus community.	36 52%	30 43%	1 1%	2 3%	0 0%

Source: "Dalton State College 1999-2000 Faculty Survey Results," p. 22

The Vice President for Academic Affairs, the Chairperson of the Technical Division, and the Director of Evening and Extended Campus Programs monitor off-campus programs. The College assures students attending classes at off-campus sites a safe and secure setting. (*Dalton State College 2001-2002 Extended Campus Student Handbook*; Evening and Extended Campus Program Organizational Chart; DSC Emergency Plans for Off-Campus Sites; Safety and Security Agreement). Students attend classes in traditional classrooms at other educational institutions as well as at non-traditional settings at industrial or business sites. While the administrative responsibility for safety and security at the traditional sites is clearly documented, the administrative responsibility at industrial or business sites is not documented (*Dalton State College 2001-2002 Extended Campus Student Handbook*).

**6.4.3 (2 of 3)  
Environmental  
and  
Occupational  
Health**

The Director of Plant Operations and an assistant professor of chemistry serve the College as Right-to-Know Coordinators to ensure that the College meets or exceeds all occupational safety and environmental health standards (Right to

Know/Hazardous Chemical Protection Communication Plan, p. 2). The coordinators report to the Vice President for Fiscal Affairs. All faculty and staff members complete the “Right to Know” on-line training sessions. The College publishes and distributes to all faculty the *Dalton State College Right to Know Training/Hazardous Chemical Protection Plan* and the *Dalton State College Emergency Preparedness Plans*. The “DSC Emergency Plan” lists the procedures to be followed in the event of a fire, bomb threat, personal injury, etc. The fire marshal visits the campus regularly but unannounced and at his/her discretion. The College, as a result of the above actions, conforms to University System of Georgia policy (Board of Regents Policy Manual, Section 916).

**6.4.3 (3 of 3)  
Comprehensive  
Safety Plan**

Although the College has two separate documents that provide guidance for a safe and secure campus, a “comprehensive” plan is not available.

**Conclusion:**

The College provides students, staff, and faculty with a healthful, safe, and secure learning and working environment at both on- and off-campus sites. Additionally, DSC provides resources to meet issues regarding regulatory requirements and general safety and security. However, a clear line of administrative responsibility for off-campus sites should be developed (6.4.3--2 of 3). The College is not in compliance with 6.4.3 (2 of 3 and 3 of 3), which requires a comprehensive safety plan.

**Recommendations/Suggestions/Proposals:**

**Recommendations:**

**6.4.3 (1 of 3) *The institution must take reasonable steps to provide a healthful, safe and secure environment for all members of the campus community.***

The Committee recommends that classroom facilities and classroom access at off-campus business and industrial sites be evaluated to establish administrative responsibility for safety/security procedures. **Status:** See the *DSC Self-Study Report Addendum-“Master List of Recommendations.”*

**6.4.3 (2 of 3) *Administrative responsibility for environmental health and safety programs must be assigned.***

The Committee recommends that responsibility for environmental health and safety at off-campus sites be clearly established. **Status:** See the *DSC Self-Study Report Addendum-“Master List of Recommendations.”*

**6.4.3 (3 of 3) *A comprehensive safety plan must be developed, implemented and evaluated regularly.***

The Committee recommends that the College develop, implement, and regularly



evaluate a comprehensive safety plan. **Status:** See the *DSC Self-Study Report Addendum*–“Master List of Recommendations.”

**Suggestion:**

**6.4.3. *The [safety] plan should give special attention to [. . .] familiarizing all building occupants with emergency evacuation procedures.***

The Committee suggests that the College include in its comprehensive safety plan provisions to ensure easy egress from buildings in case of fire.

**Proposals:**

1. The Committee proposes that the College designate a single person to coordinate the campus-wide Right-to-Know program and environmental safety issues.
  
2. The Committee proposes that the *Dalton State College Right-to-Know Training/Hazardous Chemical Protection Plan* be proofread and updated.

**Must Statement Compliance Table  
6.4.3 Safety and Security**

<b>Must Statement</b>	<b>Compliance</b>	<b>Supporting Documentation</b>
<p><b>6.4.3 (1 of 3).</b> The institution <b>must</b> take reasonable steps to provide a healthful, safe and secure environment for all members of the campus community.</p>	<p>Noncompliance</p>	<p><i>Dalton State College Emergency Preparedness Plans</i></p> <p>“Dalton State College Emergency Plan”</p> <p><i>Board of Regents Policy Manual, Section 916.</i></p> <p>Dalton State College Fiscal Affairs Policies and Procedures</p> <p>Georgia Department of Human Resources Food Services Establishment Inspection Report, September 9, 2001, March 29, 2002</p>

<b>Must Statement</b>	<b>Compliance</b>	<b>Supporting Documentation</b>
		<p>Dalton State College 1999-2000 Faculty/Staff Survey, p. 22.</p> <p><i>Dalton State College Extended Campus Student Handbook, 2001-2002</i></p> <p>Evening and Extended Campus Program Organizational Chart</p> <p><i>Georgia Peace Officer Standards and Training Act</i></p>
<p><b>6.4.3 (2 of 3).</b> Administrative responsibility for environmental health and safety programs <b>must</b> be assigned.</p>	<p>Non-compliance</p>	<p>Dalton State College Fiscal Affairs Policies and Procedures Fiscal Affairs Organizational Chart</p> <p>“Safety and Security Agreement”</p> <p>“Extended Campus Site Coordinator Job Description/ Responsibilities”</p> <p>“DSC Emergency Plan”-Catoosa Center, Appalachian Technical College, Coosa Valley Technical College</p> <p>2001-2002 Instructor Evaluations of Disability Support Services</p> <p><i>Dalton State College Extended Campus Student Handbook</i></p> <p>“Dalton State College Right-to-Know/ Hazardous Chemical Protection Plan”</p>
<p><b>6.4.3 (3 of 3).</b> A comprehensive safety plan <b>must</b> be developed, implemented, and evaluated regularly.</p>	<p>Non-compliance</p>	<p><i>Dalton State College Emergency Preparedness Plans</i></p> <p>“Dalton State College Right-to-Know/ Hazardous Chemical Protection Plan”</p>

## 6.4.4 Physical Facilities Master Plan

6.4.4 (1 of 1)  
5/15-Year  
College  
Master Plan

### Presentation of Findings

As the result of a nine-month comprehensive planning process initiated in 1997, Dalton State College (then Dalton College) developed a campus master plan that addresses both current needs and long-range goals. The College's plan followed the *Physical Master Planning Template*, a comprehensive set of guidelines furnished by the Board of Regents of the University System of Georgia. The planning process concentrated on the target year 2002, with a look forward to the year 2012, with the understanding that the plan would be updated every five years.

The plan identified the following five general objectives:

1. Undertake an evaluation of current and proposed academic programs as a basis for understanding existing space on campus and create a plan that acknowledges and accommodates anticipated new academic and non-academic programs;
2. Provide a mid- and long-range vision for the physical development of the campus that is consistent with the College's Mission and Strategic Plan and which provides a framework for siting capital projects and maintains a strategic relationship with surrounding areas;
3. Create a plan for future growth of the school through acquisition of adjacent or remote building(s) and/or land;
4. Maximize use of the existing campus land through "discovery" of potential new building or recreation sites;
5. Develop planning solutions to improve the quality of on-campus life to reinforce the "traditional collegiate experience."

("Dalton College Physical Master Plan Executive Summary"; *Dalton College 2000-2003 Strategic Plan*, September 15, 2000, Page 1)

The Dalton College Strategic Planning Committee served as the Master Planning Task Force and was assisted in preparing the plan by Board of Regents Facilities staff. In addition, the consulting firm of Thompson, Ventulett, Stainback & Associates assisted with the plan.

Based on a number of planning concerns, including enrollment projections, new academic programs, class size and nature, additional land availability, potential new buildings, traffic circulation, parking, physical education, and recreation, the Master Planning Task Force developed planning goals and implementation plans. The Task Force proposed the following actions to accomplish these goals and

plans: careful site selection for proposed new structures; expansion of capabilities for certain existing structures through renovation and/or expansion; verification of academic space needs based on projected enrollment; verification of non-academic space needs; development of a plan or strategy for long-term growth through acquisition of additional property; determination of whether a portion of the mountain ridge can be effectively used for construction; expansion of the athletic/recreation facilities; and development of means to make the campus more collegiate in function and appearance.

Individuals and organizations assisting the Task Force reviewed the various options identified. The Task Force then made modifications in response to comments from these advisors and selected a preferred strategy, which identified projected needs for the period ending in 2002 and the period ending in 2012. Next, the Task Force designed and the College adopted a comprehensive, phased implementation program to accomplish the improvements required to meet the projected needs for both periods of time.

The Offices of the President, the Vice President for Fiscal Affairs, and all Division Chairpersons keep copies of the *Dalton State College Physical Master Plan*.

**Conclusion:**

The *DSC Physical Master Plan* supports the goals of the College as described in the College's statement of purpose. Facilities-planning at DSC is a comprehensive process that results in the orderly development and maintenance of the physical plant of the College, and during the year 2002 this plan will be subject to formal review and updating.

The College is in compliance with the *SACS Criteria*, Section 6.4.4.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table  
6.4.4 Facilities Master Plan**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.4.4 (1 of 1).</b> The institution <b>must</b> maintain a current written physical facilities master plan that provides for orderly development of the institution and relates it to other institutional planning efforts.</p>	<p>Compliance</p>	<p>Facilities Planning SACS Criteria Checklist</p> <p>“Dalton State College 1998 Physical Master Plan Executive Summary,” Page 1.</p> <p>Dalton State College Five-year (2002) and Fifteen-Year (2012) Physical Master Plans</p> <p>Physical Master Planning</p> <p>Template/Board of Regents</p> <p>Policy</p> <p>“Dalton State College Statement of Purpose,” <i>Dalton State College Statutes</i>,” Article 1, p. 1</p>

**6.5 Externally Funded Grants and Contracts**

**Introduction**

The primary mission of Dalton State College (DSC) is to serve as a teaching institution. Faculty members at the College may conduct research as a component of their professional development and as a matter of personal achievement and scholarship. The Dalton State College Foundation provides funding for the Faculty Enrichment Award, which provides opportunities for release from teaching responsibilities to pursue professional development activities, which might include research, but is not an externally funded grant (*Dalton State College Faculty Handbook*, Appendix #4: “Faculty Enrichment Award”).

**Conclusion:**

Since Dalton State College has no externally funded grants or contracts for research, the provisions of Section 6.5 do not apply. However, should the College enter into this type of activity, policies are in place within the *University System of Georgia Board of Regents Policy Manual* and the *Dalton State College Faculty Handbook* to ensure that any research funded by grants or contracts enhance the

(1-13 of 13)  
Externally  
Funded Grants/  
Contracts  
Related to  
Purpose

reputation of the institution and contribute to professional development of programs and faculty.

**Recommendations/Suggestions/Proposals:**

None.

**Must Statement Compliance Table  
6.5 Externally Funded Grants and Contracts**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<b>6.5 (1 of 13).</b> Externally funded grants and contracts <b>must</b> be related to the stated purpose of the institution.	Not Applicable	<i>USG Board of Regents Policy Manual, Section 201.0608, Sections 601,602, 603</i>  <i>Dalton State College faculty Handbook, “Research”</i>
<b>6.5 (2 of 13).</b> The Institution’s policy on such grants and contracts <b>must</b> provide for an appropriate balance between grant and contract activity and instruction, and guarantee institutional control over the administration of research.	Not Applicable	
<b>6.5 (3 of 13).</b> The researcher’s freedom to investigate and report <b>must</b> be preserved.	Not Applicable	
<b>6.5 (4 of 13).</b> The institution <b>must</b> establish a clear policy concerning a faculty member’s division of obligation between research and other activities.	Not Applicable	
<b>6.5 (5 of 13).</b> It <b>must</b> ensure that this policy is published in such documents as the faculty handbook and made known to all faculty.	Not Applicable	
<b>6.5 (6 of 13).</b> Where applicable, the institution <b>must</b> develop policies regarding summer salaries paid from grant and contract funds, salary supplements paid from grants during the regular academic year and fees for consultative services provided by the faculty member.	Not Applicable	

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<b>6.5 (7 of 13).</b> This policy <b>must</b> also be published and made known to the faculty.	Not Applicable	
<b>6.5 (8 of 13).</b> In accepting funds from outside agencies, the institution <b>must</b> ensure that it maintains control over research and instruction.	Not Applicable	
<b>6.5 (9 of 13).</b> Because many agencies attach stringent regulations directing and limiting the activities for which they provide funding, the institution <b>must</b> safeguard control over its own activities.	Not Applicable	
<b>6.5 (10 of 13).</b> Continuity of support for general institutional activities <b>must</b> not be endangered by acquisition of research grants and contracts.	Not Applicable	
<b>6.5 (11-13 of 13).</b> Grants <b>must</b> be awarded and contracts must be made for specific periods of time. It is <b>also important</b> that an institution not become dependent upon indirect cost allowances from grants and contracts to support its regular operating budget.	Not Applicable	

## 6.6 Related Corporate Entities

### Presentation of Findings

6.6 (1-2 of 2)  
**Related,  
 Separately  
 Incorporated  
 Units**

Presently, only one organization qualifies as a “related, separately incorporated entity” under the definition stated in this section, and that entity is the Dalton State College Foundation, Inc. The DSC Foundation was established in 1967 and is a non-profit, tax-exempt 501(c)(3) organization whose purpose is to serve as a partner with Dalton State College in seeking to build upon the College’s strengths and in enabling the College to justify its recognition as an academically respected, student-oriented, and community-centered institution. To accomplish these goals, the Foundation has committed itself to seek gifts, donations, and grants, and to

use this income to provide DSC with ongoing resources in the following areas:

- Student scholarships
- Faculty enrichment
- Instructional equipment
- Endowed faculty chairs
- Campus expansion
- Community events, and
- Other needs as may be warranted.

The *Dalton State College Foundation Bylaws*, the *Charter of the Dalton State College Foundation, Inc.*, and the *Foundation Financial Statements for the Year Ended June 30, 2001*, located in the offices of the President and of the Director of Institutional Advancement, clearly delineate the relationship of these two organizations, as well as describe the risk management and other operating controls under which the Foundation functions. The Secretary to the President of DSC serves as the Secretary for the Dalton State College Foundation, for which she receives a stipend. Also, the Director of Institutional Advancement holds the position of Treasurer of the Foundation and receives a salary for this position.

**Conclusion:**

The Dalton State College Foundation complements the operations of the College and supports the attainment of the College's goals. Winter and Harris, Certified Public Accountants, P.C., conducted the most recent audit, entitled *Dalton State College Foundation, Inc., Financial Statements for the Year Ended June 30, 2001*. The controls described within this document ensure that the Foundation operates within appropriate guidelines and contributes to the College's effectiveness. The College is in compliance with the *SACS Criteria*, Section 6.6.

**Recommendations/Suggestions/Proposals:**

None



**Must Statement Compliance Table**  
**6.6 Related Corporate Entities**

<b>Must Statement</b>	<b>Compliance Statement</b>	<b>Supporting Documentation</b>
<p><b>6.6 (1 of 2).</b> Institutions are often associated with related separately incorporated units, such as radio or television stations, athletic foundations, research foundations, scholarship foundations, hospitals, for-profit enterprises, press operations and publications, and insurance trusts. When an institution is reliant upon such an entity, or when a separately-incorporated or related entity is reliant upon the institution, documentation outlining the mutual relationship and benefits <b>must</b> be maintained by the institution.</p>	Compliance	<p><i>Dalton State College Foundation By-Laws</i></p> <p><i>DSC Foundation, Inc., Financial Statement, Year Ended June 30, 2001</i></p> <p>Memorandum of Agreement between Dalton State College and the Dalton State College Foundation, Inc., April 10, 2001</p>
<p><b>6.6 (2 of 2).</b> This documentation <b>must</b> include the following: a description of the separately-incorporated unit's activities; a statement demonstrating the manner in which the activities relate to the purpose of the institution; a current roster of board members of the unit, including institutional personnel and board members who have responsibilities with both the institution and the incorporated entity, whether they are additionally compensated by the entity or not; a copy of the separately incorporated unit's annual financial audit report for the most recently completed year; and copies of the charter and bylaws of the unit.</p>	Compliance	<p><i>The Dalton State College Foundation, Inc. Bylaws.</i></p> <p>Roster of Membership and Staff of the Dalton State College Foundation, Inc.</p> <p><i>Dalton State College Foundation, Inc., Financial Statements for the Year Ended June 30, 2001.</i></p> <p>Charter of the Dalton State College Foundation, Inc.</p>