HUMBOLDT STATE UNIVERSITY

CHAIRS HANDBOOK 2014

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TABLE OF CONTENTS

CHAPTER I: ROLE AND RESPONSIBILITY OF CHAIRS

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AAUP Statement on Government of Colleges and Universities

http://www.aaup.org

April 19, 2004

The roles and functions of department chairs and school directors are addressed only briefly in the HSU Policy File and in the Collective Bargaining Agreement between the CSU and CFA. The statement above, strong and succinct, is found in a document that was jointly formulated by the American Association of University Professors, the American Council on Education (ACE), and the Association of Governing Boards of Universities and Colleges (AGB) and endorsed or adopted by each in 1966. HSU is a member of ACE and the AAUP was one of the Confederation of Faculty Associations—the original CFA. The entire paragraph from which the above quote was taken states

> The chair or head of a department, who serves as the chief representative of the department within an institution, should be selected either by departmental election or by appointment following consultation with members of the department and of related departments; appointments should normally be in conformity with department members' judgment. The chair or department head should not have tenure in office; tenure as a faculty member is a matter of separate right. The chair or head should serve for a stated term but without prejudice to reelection or to reappointment by procedures which involve appropriate faculty consultation. **Board, administration, and faculty should all bear in mind that the department chair or head has a special obligation to build a department strong in scholarship and teaching capacity.** [emphasis added]

This statement is consistent with what little is said in HSU and CSU documents and can, when interpreted in the context of HSU's Mission, Vision and Values, provide considerable direction to HSU chairs.

(See http://www.humboldt.edu/president/vision)

POSITION DESCRIPTION

Department chairs are faculty members of a department and have all the rights and responsibilities of a faculty member. Department chairs serve as liaisons between the faculty and the administration, communicating the department's needs to the administration, and keeping the faculty and staff informed of university policies, procedures, and initiatives. Of primary importance is their ability to provide effective leadership and direction for academic programs, foster productive communication within the department, and facilitate the department's goals in all areas of responsibility. Managing the department's resources – human, fiscal, and physical – are central to this endeavor. In addition, chairs represent the department to outside constituencies in an effort to build relationships that strengthen program offerings and benefit the community.

It is in the best interests of the department and the academic programs that department chairs operate within the principles of shared governance. Maintaining positive working relationships with the faculty and staff is of the utmost importance. Communication should be open, honest, principled, and operate on a two-way exchange where faculty and department chair input is sought and respected.

RESPONSIBILITIES OF THE DEPARTMENT CHAIR

The functions identified are those assigned to all department chairs at HSU. In all cases, whether as a defined "administrator" or not, the chair needs to consult extensively with the members of the unit to assure that the best thinking of the department has been brought to bear on the issues, but must also be prepared to make his or her own personal best judgment on each matter.

I. College Responsibilities

   A. Implement university and college policy.
   B. Advise the Dean on matters of college policy and the position that should be taken by the college on issues of major importance to the university.
   C. Advise the Dean about the appropriate distribution of personnel and other resources among the various programs/departments in the college.
   D. Advise the Dean about the appropriate priority order for requests for construction projects, equipment purchases, etc., submitted by the Dean to the university, system or private granting agencies.
   E. Seek and receive approval of proposed departmental policies from the Dean.

II. Department Responsibilities

   A. General Responsibilities

      1. Present the needs of the department cogently and forcefully to the Dean and to other department chairs/program leaders.
      2. Implement university, college and departmental policies and ensure necessary consultation with departmental members and/or committees. (Almost all of the following functions are performed concurrently with appropriate faculty committees and/or after consultation with department faculty and staff.)

   B. Personnel Resources

      1. Recommend appointments of full- and part-time faculty and full- and part-time support staff to positions in the department.
         a. Prepare vacancy announcements.
         b. Evaluate candidates.

c. Recommend appointments, including submitting appropriate reports and forms for appointment that review the candidates' background and experience.

2. Orient new faculty and staff to the curriculum, programs and processes of the department.
3. Evaluate faculty/staff performance and encourage faculty/staff development.
4. Recommend retention, promotion or termination of faculty and staff members in the department.
5. Assign faculty and staff work load.
6. Assist in the resolution of faculty and staff interpersonal relationship problems.

C. Support Resources

1. Approve expenditures of operating expense and temporary help money, and any other resources allocated to the department.
2. Ensure proper accountability for money, supplies, and equipment entrusted to the department.

D. Curriculum

1. Communicate to faculty members (especially new faculty members) the curricular and programmatic goals of the department, the general college and university goals, with particular emphasis upon how these affect individual faculty members' assignments.
2. Initiate and/or recommend proposed changes in departmental curriculum.
3. Initiate and/or supervise periodic review of the departmental curriculum.
4. Assist the Office of Extended Education in initiating and/or conducting courses and programs consistent with departmental and institutional goals.

E. Student/Community Relations

1. Participate in and/or facilitate the participation of others in departmental and in college student recruitment and retention efforts.
2. Assist directly and indirectly in communicating to prospective and to enrolled students the departmental academic goals, offerings, and requirements.
3. Assist in the resolution of faculty/staff and student interpersonal relationship problems.
4. Represent the department in matters of community relations as appropriate.

F. Administration

1. Inform the Dean concerning needs for faculty, staff, supplies, equipment and other physical and personnel needs of the unit.
2. Prepare and administer the department’s budget.
3. Supervise the instructional program of the department, including preparing class schedules, making teaching assignments, assigning instructors, and assigning individual departmental responsibilities beyond teaching to appropriate faculty.
4. Serve as lead worker for assigned administrative, clerical and technical staff.
5. Recommend action to the Dean on student petitions for waiver of college and departmental regulations.
6. Approve requests for vacation, time off, and sick leave.
7. Chair faculty meetings and committee meetings consistent with approved department policies.
8. Other departmental responsibilities as the Dean may assign.

CHAPTER II: LEADERSHIP

Academic leadership is unique in many ways. The chair of the department has to work closely with highly intelligent individuals whose personal goals may not closely relate to the department goals. This reality, along with the notion of academic freedom enjoyed by the faculty, may create a major challenge for the chair. It's most important, however, to consider not only the well-being of individual faculty, but the well-being of the department as a whole, the mission of the College, the vision of the University, and, of course, the needs of the students. Balancing these sometimes conflicting perspectives and focusing on the larger good can create some of the Chair's greatest challenges. To succeed in his/her job, and move the department forward, the chair may find the following guidelines helpful:

1. A strong chair looks at the big picture and doesn't get bogged down in details.
2. A strong chair conveys to the faculty the advantages of shared vision.
3. A strong chair is a consensus builder.
4. A strong chair builds trust by being honest and open-minded.
5. A strong chair persuades the faculty to focus, collaborate and contribute, sometimes at the risk of personal recognition.
6. A strong chair leads the faculty to articulate the long-term goals of the department.
7. A strong chair accentuates the positive.

In an era of reduced budgets, the leadership of the chair becomes important in determining the success or failure of the department. In order to have a maximum impact, a strong chair will work with the faculty to identify existing strengths and find ways to direct resources for the benefit of the whole department. When budgets are growing, a strong chair will guide the faculty in setting priorities and help them focus their energies and attention on achieving departmental goals.

Excellent books, papers, and monographs about department chairs are available. A book that is worth reading is *The Department Chair as Academic Leader* by Irene W. Hecht, Mary Lou Higgerson, Walter G. Gmelch, and Allan Tucker published by American Council on Education, 1999. Ted Marchese, Vice President for American Association of Higher Education, writes in his foreword "this book covers just about every topic that will land on your desk, gives good advice on how to approach each one, and then provides list of articles for further reading."

Other excellent resources include:

Chu, Don. 2006. *The Department Chair Primer: Leading and Managing Academic Departments.* Bolton, MA: Anker Publishing.

Gmelch, Walter H. and Val D. Miskin. 2004. *Chairing an Academic Department.* Madison, WI: Atwood Publishing.

Gunsalus, CK. 2006. *The College Administrator's Survival Guide.* Cambridge, MA: Harvard University Press.

Higgerson, Mary Lou. 1996. *Communication Skills for Department Chairs.* (Bolton, MA: Anker Publishing.

CHAPTER III: MANAGEMENT

POLICIES AND PROCEDURES

All departments should have written policies and procedures. Although we have a University Policy website (http://humboldt.edu/policy/), and colleges have their own policies and procedures, departments should have a written record documenting expectations for faculty, especially regarding personnel issues. At a minimum, the department should have policies on RTP criteria and procedures, and on procedures for periodic evaluations, and appointment of lecturers. The faculty may wish to identify other areas in which it would be helpful to have written departmental policies. All policies should be approved by a majority of the tenure-line faculty.

As department chair, you will be considered the policy maven. Faculty may come to you with all kinds of needs: to schedule group exams (for classes with multiple sections), to seek approval for rescheduling classes or exams, to ask you about departmental policies on adding students during the schedule adjustment period, to question you about student evaluation procedures, or to find out about responsibilities regarding field trips, among other things. They will expect you to know the answers to their questions. Be as informed as possible about your departmental, college, and university policies. Familiarize yourself with the Faculty Handbook, and consult campus experts on any of your responsibilities with which you do not feel entirely at home. When in doubt, ask your Dean’s office or Academic Personnel Services. Adopt a phrase such as “Let me look into that, and get back to you.” Then take care that you do.

CLASS SCHEDULING

Class scheduling may be delegated, but the overall responsibility rests with the department chair. The Unit 3 collective bargaining agreement authorizes the “appropriate administrator” (the Dean of the college) to make instructional assignments after consultation with the department chair and/or the individual faculty member. In practice, this means that the chair, after consultation with the faculty, submits a schedule to the Dean’s office for review and approval. Faculty members have the right to express their preferences, and the principle of consultation is taken very seriously in grievance arbitrations. Nonetheless, the final determination of what is best for the department and the students belongs to you and your Dean.

Scheduling includes making individual faculty teaching assignments, selecting course offerings, and allocating classrooms. Class schedules are built to meet student demand, learning outcomes, and available funding. The chair needs to assure that the schedule balances high-demand General Education courses, required classes for the major and graduate programs, and innovative curricula addressing changing dimensions of the discipline. In addition, the schedule should provide classes across the full work week (MWF, TTH, late afternoons and evenings), and conform to standard time modules for undergraduate classes (your administrative coordinator should have a chart of these modules provided by Enrollment Management). Most faculty members prefer to concentrate their teaching in as few days as possible, but not all preferences can be met. Some chairs take seniority into account in designing schedules, while others rotate unpopular times among the entire faculty. You may also want to consider how well a course draws: less popular courses may do well if scheduled at 11am TTH, while your bread-and-butter courses can be scheduled anytime and draw a full house.

Some chairs delegate the assignment of classrooms to the administrative coordinator, but, if delegated, the chair should still provide oversight. Room assignments can be very political: some faculty members have strong preferences for where they will or will not teach, based often on course design. For example, professors who spend time developing their courses to take advantage of the technology in a smart classroom may be upset to learn their class has been scheduled in a regular classroom. It is also important to consider carefully who is best able to teach large sections, and who is more effective in smaller settings. The class schedule is like a jigsaw puzzle: The overall pattern may not emerge until the last piece is put in place. Unfortunately, at times, much to the chair's chagrin, it turns out to be a house of cards. If it collapses, have courage, and begin again. The chair also has responsibility for hiring the faculty to teach the scheduled courses (see Chapter IV, Personnel).

Schedules are created in the department well in advance of the semester to which they pertain. Office of the Registrar sends out the Academic Processes Calendar to all colleges and departments, twice a year for fall and spring semester. Planning for future terms can begin as early as immediately after Census of the same term in the current year. Schedules for the current and past semesters can be obtained at http://www.humboldt.edu/oaa/classes.shtml.

WORKLOAD REPORTS

Academic Planning Data Base (APDB) Reports are used by the CSU Chancellor's Office to justify faculty workload and the need for additional positions, and to justify the use of facilities and the need for additional facilities. APDB Reports are prepared from information gathered from the following sources: Academic Transaction Forms, Class Schedules, Faculty Verification/Assigned Time, and Adjunct Forms. All the information gathered from these sources is used to produce a preliminary Faculty Assignments by Department (FAD) Report that department chairs receive after census and use to verify the accuracy of the workload for faculty members in their department. The FAD Report shows the courses taught and total workload units for each faculty member in the department. FAD reports can be accessed on campus only at: http://pine.humboldt.edu/~oaa/fad-index.html.

Tenured and probationary faculty members are generally restricted to 12 weighted teaching units (WTUs) per semester of direct instruction. (Three additional WTUs are assumed for indirect instructional duties such as advising and routine committee responsibilities, but these are not listed on the FAD report). A full-time lecturer assignment is 15 WTUs. Faculty members also may receive credit as part of their total 12 WTUs (for tenured/tenure track faculty) or 15 WTUs (for lecturers) for such activities as instructionally-related research, major advising assignments, extraordinary committee work, curriculum development, or assessment responsibilities. This credit is known as assigned time, and specific codes are used for each kind of assignment. Requests for assigned time must be in accordance with college guidelines. The FAD report shows the assigned time, as well as release time supported by grants or contracts. Each semester, the department chair or designee makes corrections and returns the FAD to the Dean's office, which then sends the document on to Institutional Research and Planning.

It is permissible for a tenure track faculty assignment to average 12 WTUs over an academic year. Full-time tenured and probationary faculty members are allowed to exceed 12 WTUs due to supervision workload. However, faculty in FERP, tenure-track faculty members on a reduced schedule, and lecturers cannot exceed their appointment due to supervision. Lecturers may be offered new or additional work that takes them over 15 WTUs. This is called the "16th unit" provision, and it was agreed upon by CSU and CFA in 2007. Lecturers cannot be paid on a basis greater than 1.0, but they can receive an unconditional, full-time contract as a result of a "16-unit" assignment.

BUDGETING

A department chair must work with several kinds of budgets: the instructional budget (faculty salaries), the supplies-and-services budget (pencils and telephone bills), the Foundation (donations to your department), the Sponsored Programs Foundation budget (monies earned by departmental scholarship activities), and the Extended Education budget (your portion of fees paid for your courses by Open University students). Academic Affairs allocates the instructional and supplies-and-services budgets to the colleges, and the Dean of the college allocates them to the departments. The budgets for the academic year (fall-spring) and for summer school are separate. While it may appear to be a solid and reliable set of figures, in reality, the budget is relatively fluid. In California, the legislature is obligated to approve a budget by July 1, although it often misses that deadline, sometimes by several months. However, the university must establish its enrollment targets and class schedule much earlier than that. So the budget figures you are given in the spring are best-guess estimates that may be adjusted, sometimes more than once, as the months progress. Budgets may be reduced in response to state funding priorities, or you may receive a windfall late in the scheduling process. In a department that seeks grants and contracts, an influx of grants funds can affect the allocation of the state budget. Grants and contracts can create a degree of uncertainty in the budget process, since you do not always know at the beginning of a school year if or when a grant may be awarded. Adjustments in funds and teaching schedules plus reimbursed time create a complex budgeting and scheduling system for a department chair to handle. Budget overruns by a faculty member on a grant also may create serious problems for the chair, since the Sponsored Programs Foundation—the arm of the university through which research grants and contracts are handled—will try to collect the difference from the department (see Chapter IX for more about the Sponsored Programs Foundation). Department chairs do not have much in the way of discretionary funding to deal with such shortfalls and may have to turn to the Dean for an allocation from college funds. Chairs need to understand that they will never get enough state money to fund the department's needs or, at least, its dreams. If you are fortunate, you may be able to raise your own money to supplement state funds. See Chapters VIII and IX for helpful ideas. Otherwise, you may need to scale back some of your plans.

Budgeting also should be linked to the department's strategic plan. New programs will cost money. If there is no new money, the chair must figure out what can be eliminated in order to re-allocate resources. Departments may establish budgets based on cost centers, so it is clear what activities in the department are using the resources. Budget decisions may then be made based on cost and outcomes for each cost center.

CURRICULUM (UNDERGRADUATE AND GRADUATE)

The faculty is responsible for designing, implementing, and evaluating the curriculum, and the department chair is responsible for overseeing these activities. The chair's role is to support faculty as they carry out these responsibilities and provide the resources needed to implement faculty plans. At times however, curriculum decisions may negatively impact the budget. In that event the chair and the faculty must jointly find a way to create needed change in a cost-effective way. If presented with the financial facts of the matter, faculty members often help find a creative solution. As in other situations, the faculty is a great source of wisdom and experience that can be counted on to pitch in and make things happen.

The Office of Academic Programs coordinates the university-wide review of all curricular proposals to include new courses, changes to existing courses, new programs, and revision to existing programs. It also compiles the HSU Curriculum Guidelines Policies and Procedures, which is available online, to assist faculty in preparing proposals. You also may direct questions about actions taken by the Integrated Curriculum Committee, the Graduate Council, and the Academic Policies Committee to the Office of Academic Programs.

New faculty may not have had much curriculum training or teaching experience in their graduate programs. If so, the chair needs to provide an orientation that not only lays out the role of a faculty member in the department, but also assesses how well they understand curriculum design, teaching pedagogy, and constructing reliable measurement tools. Once identified, you can refer new faculty to resources on campus that will help fill in the gaps in their preparation, such as the Faculty Development Working Group. Classroom technology such as Moodle may be included in their orientation. Much of this training will be provided in New Faculty Orientation or New Lecturer Orientation. But it is also useful to assign new faculty members a mentor in the department who can meet with them periodically to answer questions and provide further orientation.

ASSESSMENT

As a department chair, one of your roles will be to help your department focus on student learning and to follow through with processes of assessment. The Office of Academic Programs provides guidance and coordination for assessment activities.

SPACE AND EQUIPMENT

Space allocations and equipment funds need to be negotiated with the Dean annually. As with many other resources, however, both space allocations and equipment funds are in scarce supply. Departmental requests for both generally are viewed more favorably if tied to department goals and program development. It is a good idea to keep future needs in mind and to have a well-formulated plan in the file should an unexpected source of funds become available. Chairs often receive short notice to come up with equipment or space requests. Of course, if the needs for space involve a building or significant renovation, they will have to be approved well above the Dean's level. In that case, both the Dean and the chair may work together to argue the case and seek university support.

The Dean allocates equipment funds for new and replacement equipment. Some fund sources only allow purchases for equipment used by students. The definition of "replacement" is not always obvious so the chair should seek an interpretation from the Dean's office before ordering. Equipment requiring a major investment may need special approval, but the Dean can interpret the prevailing university policy on such acquisitions.

PROFESSIONAL TRAVEL AND ABSENCES FROM CAMPUS

The university has established policies regarding professional travel and reimbursement. Professional activities that warrant travel during the academic year include trips made for professional training and (most commonly) trips to professional meetings, conferences, workshops and colloquia. This section of the Chair's Handbook provides an overview of the travel matters that will be of most concern to you. You can find much more detailed information in the HSU Travel Manual accessed online at http://www.humboldt.edu/univtravel/.

AUTHORIZATION TO TRAVEL

All professional travel requires the submission of HSU Form 90 Request for Authorization to Travel prior to departure, at least 5 days in advance of travel, even if reimbursement is not requested. The traveler and the department chair must sign all Travel Form 90s, which are then forwarded to the Dean's office for final approval. The Dean's office then submits the Travel Form 90 to Accounts Payable. Travelers do not need to submit Travel Forms for personal vacations or other non-business activity, but faculty members must submit the forms when they travel on HSU-related business during winter and summer breaks. The faculty may also need to be reminded from time to time that the chair must approve all absences during the semester and all arrangements to cover classes or other assignments.

REIMBURSEMENT

Each college has its own reimbursement policies and funding allocations. Chairs should remind faculty and staff that the colleges do not necessarily guarantee total reimbursement and that travel funds may be considerably less than the total cost of the travel. Faculty and staff members seeking reimbursement must submit within 60 days after completing their travel an itemized Travel Expense Claim, along with supporting documents. After signing it, they must then forward the travel claim to the department or Dean's office to be signed and forwarded to Accounts Payable. Faculty/staff must verify their conference participation by providing a photocopy of those pages of the official program that list them as a presenter, panelist, discussant, or other type of participant. Original receipts are required for reimbursement for conference registration, lodging, and transportation (e.g., airfare, shuttles to and from airports); they are not required for meal expenses, although meal expenses are subject to set limits. Employees who use their own vehicles to attend meetings may receive a per-mile reimbursement at the current set rate. Employees requesting reimbursement for conference registration fees must provide the original fee payment confirmation. All employees authorized to drive Humboldt State University motor pool, commercial rental, and/or privately owned vehicles to conduct university business must have satisfactorily completed a CSU approved defensive driving course and have in their possession a valid Defensive Driving Card issued by the State of California. Defensive driving courses are offered on campus at least twice each year. If a person has not completed such a course, a non-renewable, temporary permit to drive a vehicle can be issued which will only be valid until the next series of courses is offered. For more information regarding defensive driving courses and temporary Defensive Driving Cards, contact Facilities Management.

TRAVEL ADVANCES

At the employee's request and under certain conditions, Accounts Payable may issue a travel advance before travel is undertaken. This request should be indicated on Travel Authorization Form 90 and submitted to Accounts Payable between 7 and 30 days before travel commences. Travel advances are not to exceed 80 percent of the maximum dollar amount authorized by the college/department. If a trip is canceled or postponed, the advance must be returned no later than 30 calendar days after the date of the advance. Employees who fail to repay unused travel funds within 30 days of the trip may be denied travel advance funds for future trips. Accounting Services will call the employee when travel advance checks are available for pick-up.

CAR RENTAL

The primary car rental vendor is Enterprise Rent A Car for all government travel. In the event that the primary vendor is unable to provide service, the secondary vendor may be used. Vanguard Car Rental USA (parent company of Alamo and National Car Rental) is the secondary vendor. Departments are required to ensure that the secondary vendor is only used when the primary vendor cannot provide service. The employee must give the corporate account number and pin to receive a discount. Some basic insurance services are covered by the car rental contract companies and are included at no extra charge. Check with the individual carrier to see what insurance may be included in the contract. Employees will not be reimbursed for additional insurance charges, such as LDW, CDW, and PAI. No refueling fees are eligible for reimbursement.

HSU FLEET VEHICLES

Facilities Management is responsible for maintaining the safe operation and maintenance records of each HSU fleet vehicle, as well as reporting the costs for each trip to accounting for billing to appropriate University Department Accounts. To reserve a HSU vehicle a Vehicle Request Form should be completed and faxed to 826-5888. A confirmation will be faxed back to the contact person listed on the form as soon as possible All vehicles are located in the fleet vehicle parking lot in front of the Plant Operations Building on the corner of 14th and B Streets.

PROGRAM REVIEWS

To maintain and strengthen the quality of academic programs, university policy mandates that academic reviews be conducted periodically. The Program Review will describe the progress the department has made toward meeting the goals articulated in its academic plans since its last review and projects future directions. You will be informed if your department is scheduled to undergo its review and you will be provided specific instructions to guide you through the process. Program reviewers may include members from outside the university.

WORKING WITH THE DEAN

The Dean is the designated leader of the college. Deans interact with the central university administration on all matters pertaining to the business of the college. In that role, they represent the departments under their jurisdiction. They need to be well informed about a department's activities and plans. They need to be able to negotiate for the resources that enable a department to carry out its mission. Whether an issue concerns faculty, staff, equipment, travel or space, the Dean is a key gatekeeper as well as stakeholder in supporting and maintaining quality departments. It goes without saying that the relationship between the Dean and a department chair needs to be cordial and professional in order to maximize department and college achievements. From time to time, each will need the support of the other in times of crises or conflict. Open communication between the two parties will go a long way toward creating a strong academic environment. Information needs to pass between the Dean and the department chair on a consistent and timely basis. When negative information about the department comes to the attention of the Dean, he or she must feel comfortable dealing directly with the department chair, who may, in turn, investigate the matter within the department. In general, your Dean's office, including the Associate and Assistant Deans and the administrative staff, can be your most valuable ally in running the department.

WORKING WITH COLLEAGUES

Faculty and students are the heart of any department. Without a quality faculty, a department chair's chances for success are diminished. Good working relationships with faculty develop over time and take into account the hopes and goals of each member. A strong department chair takes stock of the status of the department as a whole along with the strengths and weaknesses of individual faculty members. The dynamics of interpersonal relationships within the department, including those among tenured/tenure-track faculty, lecturers, administrators, and staff, significantly influence the success of a department. A strong department chair will have a vision for the department and interpret that vision for the faculty. At the same time, a strong chair will encourage faculty members to articulate their vision and then coordinate both for the benefit of the department. If these perspectives are discordant or contradictory, the chair should negotiate with faculty to find the common ground. As noted below, communication in a department is critical to the morale and vitality of the organization. So long as all points of view are heard and respected, it should be possible to articulate a mission that the faculty can support. When conflict is not resolvable, however, the chair needs to know to whom to turn (see Chapter IV, Dealing with Problems).

WORKING WITH THE ADMINISTRATIVE SUPPORT STAFF

Department staff can provide significant support for the smooth operation of the department and the programs offered by the faculty. A key member of the staff is the administrative support assistant or coordinator, who often handles the department's fiscal and physical resources, communicates with other university offices, provides general support to the faculty, and acts as the initial point of contact for students and the public. For the chair, the support of the administrative assistant or coordinator is an invaluable asset. It requires a shared trust and an open, dependable working relationship. While the chair sets the overall operational direction for the department and provides departmental oversight, the coordinator should be able to work toward those outcomes with minimum direction. He or she also may be responsible for overseeing other staff members, including student assistants, and maintaining a harmonious working relationship and atmosphere in the department office. The chair sets the tone and is responsible for evaluating the coordinator and other staff members. The chair and the support staff should clearly establish an understanding of what work is to be delegated to the staff. Where there are associate chairs or program leaders, the distribution of authority in relation to the staff needs to be made clear so that department staff are not getting mixed messages or conflicting directions on the job.

EFFECTIVE MEETINGS AND COMMUNICATION

Chairs should have a clear idea of what they want to accomplish in the meeting before it begins. Circulate agendas before meetings so those attending can anticipate what materials might be relevant to the discussion or even have some time to think about their own ideas on the subject. All faculty members, but especially committee chairs, should notify the chair in advance as to what should be placed on the agenda. The chair can consult with the meeting notetaker to review previous minutes for carryover items before the agenda is distributed. Some chairs prefer to limit discussion and list a time factor for each agenda item. In any case, times should be monitored and the discussion moved along toward action or resolution. Rules of Order can be useful in dealing with motions and other actions during the meeting, although many departments prefer to operate in a more informal manner. Since so much time is spent in committee meetings, they should be organized to produce maximum outcomes. Otherwise, faculty members feel that nothing gets accomplished and become frustrated. It is also useful to summarize at the close of the meeting what has been agreed upon, and what next steps will ensue. People can then leave the meeting feeling things are moving forward even if not everything is resolved. Circulate minutes so that carryover items can be tracked and so those who cannot attend can keep up with the discussion and the actions taken in the meeting.

Communication is critical to the morale and vitality of the department. While e-mail has its problems, it can facilitate communications that need to go out to all faculty members. People like to feel informed about those issues that affect them personally or their work. The better the information they receive, the better the chance they can act on it appropriately. It has been said that 10% of any population doesn’t get a message, so don’t be surprised if someone claims that he or she was never informed about an issue. Therefore, important information should be sent in multiple formats and possibly multiple times. Internal department memos regarding smaller matters need also to be written if communication is to be clear, particularly between two or three people. Like a child’s game of Telephone, there is likely to be distortion if word is passed by mouth from one to another. The written message may also be misinterpreted, but it is likely to be better understood and can be reviewed if necessary. From time to time, issues involving conflict arise and faculty members are likely to send angry messages back and forth. The department chair should avoid getting into the e-mail free-for-all on contentious issues. If such messages have been exchanged twice, it is time to call a halt and schedule a face-to-face meeting to work out a compromise. Keep in mind that all written messages, including those on email, are public documents and must be provided if subject to an information request or subpoena. Never put anything in writing, including an email, that you wouldn’t want the world to read.

CONFLICT MANAGEMENT

Conflict management is a necessary skill for department chairs. Those without prior experience or training may need to seek help from others who have these skills. Simply being in the position will set you up for some conflict and avoiding the issues will only make them worse. It is better to meet them head-on and seek resolution.

One of the basic requirements in handling conflict situations is to know where you stand and where your boundaries are. When you are responsible for the good of the whole department, it's not about you. It's about your institutional role, the mission you seek to carry out, and the constituencies you serve. Experts suggest that conflict management requires practical skills of negotiation and complaint management, and also conceptual skills such as self-knowledge and self-control. In any interaction, the only behavior you can control is your own, so you need to know what triggers your emotions. Emotions can get in the way of successful resolutions, and they are contagious. Aggression is the most contagious, so in responding to it, keep your own emotions in check. Voices should be lowered. Physical motion should be restrained. Understanding that you represent the institution may create distance and help keep your personal responses to a minimum. How you act powerfully influences the outcome of any conflict-laden interaction.

There are special challenges to leadership in the academic environment for which the department chair is often unprepared. The nature of the institution calls for shared governance, academic freedom, and job tenure. There is a decentralized authority structure. Norms of behavior are somewhat fluid and loosely defined. Add to that a "star" system with expectations of entitlement, and you have a milieu ripe for conflict. However, no faculty member should be permitted to wave the flag of "academic freedom" over misconduct or unwarranted license. Familiarize yourself with the terms of the AAUP Statement of Principles, written in 1940 and subsequently updated to deal with contemporary issues. That document and the AAUP Statement on Professional Ethics (1987) serve as the cornerstone for academic behavior. The HSU Faculty Handbook statement on Professional Responsibility refers directly to the latter.

The practical skills of dealing with conflict may involve negotiation or complaint handling. Each calls for a different set of skills. First, be clear about the role you are playing as people approach you with problems. When dealing with complaints, there are certain guidelines to keep in mind.

- Don't take it personally.
- Never act on one side of the story.
- Nobody knows what EVERYBODY knows.
- When in doubt, leave it out of the report.
- Never attribute to malice that which incompetence will explain.
- Say what you will do; do what you say, and set time frames.
- In the absence of facts people make them up, so plan accordingly.
- Keep notes but stick to the facts. Don't include your opinion. The notes can be subpoenaed.
- Trust your instincts; don't let your fear guide you.
- Some problems require that formal processes be invoked. So be it.
- Be hard on the problem but soft on the people.*

* Conflict Management material by CK Gunsalas,J.D., University of Illinois, 2004

Here are some key sentences that help manage the complaint.

- What seems to be the problem?
- What action do you seek from me?
- I need to find out how others view this situation. I will do that and get back to you.
- You need to do what you need to do! (If given an ultimatum).

Negotiation is a more complex set of skills aimed at managing conflict. These learned skills require knowing what you want to get out of an interaction and what you have to bargain with. It involves preparation, searching for common interests, and depersonalizing the problem. Negotiation is voluntary. If one exercises the power of the office in the exchange, it is not negotiation. There is an extensive body of research on negotiation that may prove useful to the new chair. For example, negotiators who ask more questions and listen more effectively get better outcomes. Listening more and talking less can go a long way in achieving a successful outcome. People process information differently when in a good mood than when in a neutral or bad mood. Good moods promote creative thinking and openness to ideas. Focus first on establishing rapport and setting a positive tone for the negotiation. It is not necessary to assume that gains must come at the expense of the other party. If you do, then you may miss the opportunity for tradeoffs. Practice saying yes, without conceding. Find areas of agreement, acknowledge the feelings, and seek clarification as to why someone holds the position they do. Look for common areas of interest upon which you can agree. Demonstrate understanding of the others position. Know the boundaries of your role and stay within it.

CHAPTER IV: FACULTY

RECRUITMENT OF TENURE TRACK FACULTY

The faculty is the lifeblood of your department and you should be targeting the best talent available for your searches. Despite our semi-competitive salaries, the cost of living in California as compared to other regions of the county, and our rural setting, many people are drawn to Humboldt, and Humboldt State has proven time and again that top candidates can be successfully recruited.

Be proactive in this area. Once your request for a search has been approved, you need to do more than merely put out job ads and wait for the applications to come in. You and your colleagues should make phone calls to friends and acquaintances in your discipline who might know of promising candidates. If you expect that you will be hiring in the following year, start notifying people that there might be a position opening up. You should even try to meet at national meetings with promising doctoral students who are projected to finish their dissertation a year down the road. Letting potential candidates know that you are interested in them could be the factor that leads to a successful search.

The first thing you need to do, of course, is get permission to do your search. Each college may have its own procedure for making these requests. But in reality the work needed to secure such permission occurs long before your formal request is submitted.

Step 1 is to visit the *Tenure-line Faculty Unit Employee Recruitment Page* on the Academic Personnel Services (APS) Web site. The process begins when your department submits a Probationary Faculty Position Request (Form 200) to the College office for review. You should also attach to Form 200 a draft vacancy announcement and the projected workload for the new faculty member. The Dean will want to see that your department has a cogent vision of where it wants to go and how the requested position will help you get there. You can try a different approach and argue that your department has had a large drop in tenured and tenure track faculty, and that your department is essentially owed a replacement hire. This will get you nowhere every time.

Once your Dean recommends approval of your request to do a search, he or she will submit the request to the Provost for approval. Academic Affairs will inform the Dean when your position request has been approved, at which point you can prepare your final job vacancy announcement and proceed with the search. In collaboration with your administrative coordinator, refer to the Recruitment Manual for a step-by-step description of what you will do, and follow all instructions faithfully. Failure to do so could delay or jeopardize your search. APS is available to provide assistance to you during your search process.

HSU is located in one of the most diverse states with respect to race and ethnicity, and we are committed to diversifying both our faculty and student population. Thus, it is both legally permissible and academically appropriate that we would seek to build a faculty reflective of and sensitive to the state population we serve. There are ways of assuring that you have a diverse pool of applicants, without violating California's laws. As a result of Proposition 209, campuses are prohibited from granting a preference based upon race or sex. A preference is to be broadly construed as any advantage or privilege in areas such as outreach, hiring goals and timetables, scholarships, or recruitment. For example, you may not say in a job ad that you are looking for female candidates, or give preference to members of underrepresented groups in selection procedures. You should advertise broadly (including in publications specifically directed to women or specific ethnic groups), but you may not send out a second ad solely because the initial pool is not sufficiently diverse with respect to gender, ethnicity, disability, or other underrepresented groups. While you may not give preference to any gender or race in ads, you may use phrases such as "sensitivity to and knowledge of diverse communities" and "value diversity." Some departments have found that the way you conceptualize and describe a position affects the diversity of the applicant pool. The more narrowly construed the field, the less likely it is that your pool will be diverse. For example, including a sentence such as "we are interested in candidates who can present a gendered or ethnic perspective on X" may signal your interest in a diverse faculty with diverse perspectives. Of course, this approach works better in some disciplines than others.

Following are a number of "best practices" that can be effective for successfully recruiting members of all underrepresented groups:

1. In order to attract a diverse candidate pool, a job description should, when possible, consider:
   - a broad range of skills and interdisciplinary perspectives
   - a focus on subject areas that attract large numbers of racially diverse scholars such as tribal issues, multicultural issues or urban issues;
2. Draft the job announcement to include experience in and/or commitment to working in a multicultural environment with large numbers of students of diverse backgrounds and learning styles as a desired qualification;
3. Advertise the announcement in diversity publications;
4. Contact academic institutions which serve diverse populations to request names of possible applicants;
5. Ask colleagues for specific referrals of possible candidates and follow up;
6. Provide sub-committees, as well as the traditional "employment boards" at conferences with recruitment announcements;
7. Recruit potential candidates through the Forgivable Loan Program;
8. Recruit candidates from PhD programs where applicable;
9. Ensure a quick and early job search process (start early fall and end early winter);
10. Search committees should meet with the AVP for Faculty Affairs and the Director of the Office of Diversity and Inclusion at the beginning of the search process to learn about proactive practices;
11. Establish relationships with racially diverse communities, organizations, and doctoral-granting universities;
12. Provide a strong commitment to diversity from College leadership;
13. Elect a search committee that is diverse in terms of rank, ethnicity, and gender;
14. Elect a search committee chair who is committed to diversity and knowledgeable on the issues;
15. Apprise candidates that diversity is a priority for HSU;
16. Ensure that the candidate's visit to campus results in meeting, sharing meals, and exchanging information with a diversity of persons from the HSU campus and the Humboldt community;

17. Ensure that departments are offering equitable salaries and perks to all new hires;
18. Follow up with the new hire and assign a mentor, as well as perform a "checking in" with the employee to determine if indeed, all is well;
19. Apprise the AVP for Faculty Affairs when an individual is severing their service from HSU in order for an exit interview to be conducted.

Once your department has selected a short list of candidates that it will bring in for interviews, you will need to have your colleagues work as a team because this is an intensive and critical part of the recruitment process. Candidates will be unimpressed by signs of internal conflict. Your faculty must refrain from belittling each other during one-on-one interviews. Some departments encourage all faculty members—and sometimes students—to join the candidates for at least one dinner, while other departments restrict those dinners to members of the hiring or search committee. These dinners should be an opportunity for the department to show its best face. They also help you get a better idea of what the candidate would be like as a future colleague. Did a particular candidate order the most expensive dinner on the menu just because he/she could? That could be a tip-off of things to come.

Your college might already have arrangements with certain hotels that will allow you to charge candidates' stays to a given account. Since Humboldt County can be one of your strong selling points, explore the range of options that exist. There are some very nice hotels/motels in both Arcata and Eureka. Sometimes candidates will stay in town for an extra day (perhaps to get a reduced airfare). If this happens you should try to give the candidate a tour of the county's highlights. Be prepared to include sites that resonate with a candidate's research area or personal background.

Another way to "sell" HSU is to help candidates connect with faculty and programs outside your department. A candidate who has an interest in feminist research would appreciate meeting a representative of the Critical Race, Gender, and Sexuality Studies department. Gay or lesbian candidates may want to know something about the LGBT network on campus and in the community. Arranging for these kinds of meetings shows prospective new faculty that you are sensitive to their desire to feel a measure of "inclusion," knowing there are like-minded persons in the community to welcome them should they choose to so identify or affiliate.

NEW TENURE TRACK FACULTY APPOINTMENT PROCEDURES

After the campus interviews, the search committee meets with the tenured and tenure-line faculty in the department and compiles the strengths and weaknesses of the final candidates using the Form 4: Recommendation to Dean/Director (Probationary Faculty). The Dean submits the Form 5: Request to Offer Appointment, accompanied by the Form 5R: Reference Data for Recommended Candidate to the Provost once a final candidate is selected. The verbal offer may be made by the Dean after consultation with the Provost and the Sr. AVP for Faculty Affairs & HR. You and your dean may need to confer prior to negotiations on matters including course load, service credit, and rank. All recruitment forms can be downloaded from the Academic Personnel Services website.

When negotiations have been completed, the Dean's office will submit completed forms to Academic Personnel Services for the Provost's final approval. Academic Personnel Services prepares the official Letter of Offer for the Provost's signature, and then faxes it to the successful candidate. When the Letter of Offer is signed and returned, you have completed your part of the hiring process.

In some instances departments and candidates agree to have the new colleague begin employment in the spring semester. If your position commences in the spring, advise your new colleague of a major quirk in the way she or he will be paid. Paychecks will be dispersed from February through July, but there will be no check (or benefits) in August and September, after which they will start up again in October. This creates a special problem if your new hire is coming in at the entry level and has the usual financial constraints of a graduating student. He or she should contact The Office of Academic Personnel Services and Human Resources for more information. You can also work with your Dean's office on possible solutions.

IMMIGRATION

It is extremely important to note that tenure-track faculty appointment procedures become more complicated if the selected candidate is not a citizen or permanent resident of the United States. In that case, the candidate's materials need to be submitted to the Academic Affairs Office. Inform your candidate that HSU does not have an immigration attorney on the payroll to help new hires get their official papers in order.

To clarify why an immigration attorney needs to come into play, foreign nationals appointed to tenure-track positions may require extensive paperwork to place them in proper working status in the U.S. Generally, they need to petition for H-1B status, through HSU, before they may work at HSU. The H-1B status is good for an initial three years, with the possibility of extension for another three years. To enable the foreign national to continue U.S. employment beyond the six years, it is recommended that he or she also proceed with the Labor Certification process. Labor Certification is the next step towards permanent residency and needs to be completed within 18 months of the letter of offer. To petition for Labor Certification, the U.S. Citizenship and Immigration Services (USCIS), formerly INS, requires a national ad to have been placed. APS includes a qualifying national ad in every recruitment strategic advertising plan. It is extremely important to meet the 18-month deadline and to comply with the USCIS regulations. The expertise of an immigration attorney is crucial during this important process. Academic Affairs can recommend an attorney who has handled other cases for HSU faculty, but candidates should understand that they are responsible for making sure their immigration paperwork is handled properly and for all costs unless these are being borne by the department or college. In the years following September 11, this process has become slow and difficult.

RECRUITMENT AND APPOINTMENT OF LECTURERS

Most, if not all, departments rely on full-time and/or part-time temporary faculty members, or lecturers, to cover some of their classes, particularly lower-division introductory courses. Maintaining a pool of competent lecturers will help you weather shifting course needs that arise for a variety of reasons (unexpected retirements or resignations, course buyouts, curriculum changes, etc.). Academic Personnel Services maintains job listings that are posted indefinitely and easily accessible online. You should post an open-ended ad describing in very general terms the types of positions that could open in the future. Even if you have no plans of hiring in the near future, this ad will meet all requirements for a legal and fair search. Depending on how easily your department has found lecturers in the past, you may need to publish ads in venues normally used in your particular discipline.

Persons interested in obtaining lecturer positions will likely contact you on their own. Encourage them to complete an application form that can be accessed at the Academic Personnel Services web site. It is a good idea to maintain a file of potential lecturers with copies of their curriculum vitae. In addition, the Collective Bargaining Agreement requires you to maintain a list of all lecturers who have been evaluated by the department including the courses they have taught. You should consult that list when offering work during the academic year or for the next year and give those individuals "careful consideration" (see below for more on this concept).

When you select a lecturer, the hiring process is rather simple. If the lecturer has not taught for your department within the previous academic year, you will need to provide justification for not assigning work to your current lecturers. Complete the non-incumbent justification form that can be accessed at the APS site (Form 505). Your administrative coordinator will generate a Lecturer Transaction Form (LTF). These should be attached to a copy of the applicant's curriculum vita and submitted to your Dean's office. The Dean's Office staff will forward the LTF, vita, and degree verification to Academic Personnel Services who will conduct a compliance review and send out the appointment notification. You will receive an electronic copy of the appointment notification. An initial appointment can only be for one semester. After that, see the first bullet point below. About a week before classes begin your new lecturer will have to report to The Office of Academic Personnel Services and Human Resources to sign in, receive an identification card, and enroll for health benefits if eligible. You should also initiate the paperwork with Plant Operations for any key-card access the lecturer may need.

The rules regarding the appointment and evaluation of lecturers are among the most complicated in the Collective Bargaining Agreement. If there is one section of the MOU that chairs should study, it is Article 12, especially 12.3, 12.5, 12.6, 12.7, 12.12, 12.13, and 12.29. Here are the key points every chair must know:

- Once a part-time lecturer has taught two consecutive semesters within one academic year, he or she is entitled to a similar assignment if reappointed the next year. That means that if the lecturer taught 12 units during year one, and you hire him or her back for year two, you must assign him or her 12 units (if she or he is qualified to teach the available courses) before you can hire someone new. These units can be distributed in any manner across the academic year. Keep in mind, however, that lecturers lose their benefits if they fall below .40 in any semester, so, whenever possible, distribute their work equitably and compassionately.
- If a lecturer has taught at least one semester in each of six consecutive years, he or she is entitled to a three-year appointment in the seventh year. The time base of the appointment is determined by the lecturer's assignment in the sixth year. There can be no up-front evaluation in the sixth year; however, if there is clearly documented evidence of unsatisfactory performance or serious conduct problems you may be able to refuse to offer an initial three-year appointment. If you have a situation like this, be sure to consult with Academic Personnel Services.
- Temporary faculty members holding three-year appointments have the expectation of receiving subsequent appointments except in cases of documented unsatisfactory performance or serious conduct problems. The time base of the subsequent appointment is determined by the lecturer's assignment in the third year of the contract. If you do not have

sufficient work to meet the similar assignment, you may offer whatever work is available, which establishes the new entitlement.

- If a lecturer 's time base is reduced to zero in the third year of the three-year contract or there is insufficient work to offer her or him in the first year of a subsequent contract, that lecturer shall be placed on a department re-employment list for three years. If work becomes available for which he or she is qualified, it must be offered to her or him after you have met the entitlements of all your three-year lecturers.
- All part-time temporary appointments are conditioned upon budget and enrollment. Full-time temporary appointments are not conditional.
- All temporary faculty members are to receive a yearly periodic evaluation (see below). When one-year lecturers apply for reappointment, they have the contractual right to careful consideration. There is a body of arbitration decisions commenting upon the meaning of careful consideration (see Appendix IV). You should be able to provide evidence that you looked carefully at previous periodic evaluations, and based your hiring decisions on a reasoned assessment of the candidate's performance. Evidence that you have reviewed the personnel file is, first and foremost, provided by a signed access log. So make sure that every PAF has a log, and any time you or anyone else involved in hiring decisions looks at it, sign the log!
- Article 12.29 sets guidelines for assigning "new or additional" work, that is, work left over after you have made assignments to all current tenured, probationary, and temporary faculty members. Before you can hire new temporary employees, you must offer the work to your incumbent lecturers. Before the beginning of the academic year, offer new or additional work to three-year part-time lecturers, lecturers on the re-employment list, or other continuing multi-year part-time lecturers who are qualified to teach the courses. During the academic year, you must also offer work to continuing one-year lecturers. Any work that is left may be offered to any other qualified candidate. "Qualified" means that a lecturer has taught the course before at HSU, or that her or his academic background is clearly relevant to the course. Straying from these rules could land you in the middle of a grievance. But you never need to hire someone who is not qualified just to fill an entitlement.

As you can see, lecturers have earned many rights in the CSU system. Assuming they have received satisfactory performance evaluations, they have considerable workplace security. For this reason, it is essential that you write honest evaluations of your lecturers. If you sugar-coat the evaluations of lecturers who do not perform their jobs well, you risk not being able to replace them with more effective instructors.

Although the similar assignment and three-year contract provisions give part-time lecturers considerable security, they cannot protect them entirely from budget reductions or curricular changes. At times, it may be necessary to reduce their time base, even to zero. This is not a layoff (see Chapter V). Continuing part-time lecturers whose original time base must be reduced must be sent a letter and/or a revised contract for each change. A revised Lecturer Transaction Form (LTF) must also be sent to Academic Personnel Services. Academic Personnel Services will send an "appointment notification letter" after the revised LTF is received. These lecturers may also need to be placed on a re-employment list as explained above.

Classes may be cancelled any time prior to the third class meeting. If a class is cancelled, the employee shall be paid for class hours taught. If it is cancelled after the third class meeting, the employee must be paid for the entire class or provided with an alternate work assignment. Full-time lecturer appointments are not conditional and may not be reduced due to budget or enrollment.

MENTORING

Since it is likely that a few years have passed since you were an entering assistant professor, you may have forgotten that new faculty might not be as savvy about the rules of academic engagement as we think, nor will they necessarily know the ins and outs of HSU. For this reason, a mentor is assigned to all new tenure-line faculty and the mentor's name is included in the official Letter of Offer. Ideally, this mentor will be someone who has established a strong record in teaching and research, and at the same time can "relate" well to the new colleague. The mentor should be proactive in advising the junior colleague, and should regularly meet with her or him to render advice on matters such as

- Balancing teaching with professional growth activities
- Establishing a scholarship agenda that meshes with department, college, and HSU expectations
- Selecting appropriate journals or other venues for the advisee's research manuscripts
- Advising on intramural and external sources of funding
- Dealing with difficult students
- Being productive yet avoiding burnout
- Understanding the importance of becoming a visible player within one's professional societies (e.g., presentations at professional conferences, and serving as officers and board members) and a part of the university's governance (e.g., running for Senate and participating in college and university committees)

Check periodically to make sure that your mentor is in fact meeting with the advisee. Your department has a huge investment in the success of your young faculty and it is your responsibility to do what you can to help those people succeed.

Mentoring does not apply only to junior faculty. It is not uncommon for senior professors to find themselves in a slump, either in teaching or professional growth. As department chair, you have access to teaching evaluations and student complaints, take part in post-tenure reviews, and may be privy to information about personal problems and low morale. One of the hardest tasks that faces a department chair is revivifying the career of a tired and disaffected long-term Associate Professor or a senior colleague who has not kept up with curricular or pedagogical advances. If you face such a situation, seek advice from your fellow chairs or from sympathetic administrators. In addition, you may be expected by your colleagues to be all-knowing on all matters, not only by your junior faculty but by older colleagues as well. They will come to you for advice on matters about which a chair has no special insight, and you will be expected to come up with answers. Get used to it. This is one reason why we have prepared this handbook.

PERSONNEL FILES

The Personnel Action File (PAF) is the one official file for employment information and information relevant to personnel recommendations and actions. The College Offices maintain

PAFs for all tenured and probationary faculty members. The PAFs for all temporary faculty employees are housed in the College offices, and the Dean is considered to be the custodian of those files. (See Appendix VI for an explanation of the responsibilities of the custodian of the file.) Copies of some material contained in the official file may be maintained in other offices for convenience Keep in mind that only the official PAF may be used as the basis for personnel actions. Administrators, including department chairs, and faculty members of peer review committees must always sign the access log when reviewing the PAF for any purpose other than routine maintenance.

A department chair may have occasion to place material in a faculty member's PAF. This material may include letters of commendation, complaints, or warnings. The faculty member must be given notification five days prior to placing the materials. See also the Collective Bargaining Agreement.

REAPPOINTMENT, TENURE, AND PROMOTION PROCEDURES

The university's policies on Reappointment, Tenure, and Promotion (RTP) were revised in 2008-09, and are included in the HSU Faculty Handbook under the section "Appendix J." Helpful documents are available on the Academic Personnel Services Web site and the University Faculty Personnel Services page that is posted on the Academic Senate web site.

The chair of the department has several responsibilities in the RTP process. The first is to assure that all faculty members are apprised of the criteria set out by the department, the college, and the university. The second is to mentor probationary faculty so that they make their best efforts to fulfill the criteria and put together a clear and convincing case for reappointment, tenure, and promotion. The third is to review and sign the Professional Development Plan (PDP) which is inserted into the Working Personnel Action File.

Finally, the chair is one of the two reviewing bodies at the department level of review for all RTP decisions. The chair provides an independent recommendation for or against reappointment, tenure, or promotion, written as a letter to the candidate. This is one of the most important responsibilities of a chair, and should be taken very seriously. Your recommendation is one of the pieces of evidence used by the Provost and President to determine whether a colleague shall remain in the university or not, or whether or not he or she shall be promoted to higher rank. RTP decisions are based entirely on the written record compiled in the Working Personnel Action File(WPAF), and, on occasion, the Personnel Action File (PAF). Hearsay, observation, personal interactions or conversations, or other extraneous information not documented in the WPAF or PAF may not be considered.

The RTP criteria include excellence in teaching, continuous progress in professional growth, and appropriate service. According to the CBA, teaching is the primary responsibility of a CSU faculty member. Appendix J lists all the types of items that may be considered under teaching effectiveness. Student evaluations and collegial letters are required evidence of teaching effectiveness, but they may be placed in the context of advising and mentoring, thesis work, pedagogical publications, curricular innovations, and so forth. Professional growth that is established through scholarship and creative activities is substantiated through evidence that satisfies one or more categories that have been identified by department faculty and approved by the Dean. Service expectations are also defined at the department level and approved by the

Dean, but in general service expectations of probationary faculty are less than what is expected of Associate Professors requesting promotion to Professor. In all cases, the entire record of the candidate is to be considered.

The chair's letter can be very persuasive. Typically, it would be expected that the detailed evaluation of the candidate's record—and specifically the evidence included to demonstrate proficiency in the three criteria—would be done by the department peer review committee. But the chair may have a different assessment of the work, and has a responsibility to explain that in his or her letter. In addition, a chair may provide a perspective on teaching, publication, and service that includes consideration of the mission of the entire department, which a peer review committee may not have. The chair's letter sometimes includes nuances that are very helpful to successive levels of review. The chair's letter should never rubber-stamp that of the department peer review committee. It should be a completely independent evaluation and recommendation. Although it is likely that the committee and the chair will agree on a recommendation, they may disagree. This is part of our open process.

PERIODIC EVALUATIONS

Periodic evaluations differ from performance reviews in that they do not culminate in a recommendation for any action regarding reappointment. They are strictly evaluations of professional competence. Three categories of faculty employees undergo periodic evaluations: probationary faculty in the first year of a two-year contract, tenured faculty, and part-time and full-time temporary lecturers. It is very important not to refer to these evaluations as performance reviews. The latter are reserved only for probationary and tenured faculty requesting an action such as reappointment, tenure, or promotion.

Probationary faculty members in the first year of a two-year appointment receive a periodic evaluation because they are guaranteed by their contract reappointment to a second. They receive a performance review only if they request tenure or promotion in the first year of a reappointment contract. The periodic evaluation is an "in-College" process intended primarily to mentor the probationary faculty member and identify any potential problems at the earliest possible moment. The Professional Development Plan (PDP) and current student evaluations are reviewed by a peer review committee of the department, the department chair, and the Dean, who is the appropriate administrator responsible for the periodic evaluation of probationary faculty members. A written record is filed in the PAF and included in subsequent WPAFs.

Tenured faculty members must receive a periodic evaluation at least every five years. This is more fondly called "post-tenure review." As with the periodic evaluation of a probationary faculty member, a departmental peer review committee, chair, and appropriate administrator (the Dean) conduct it. The Dean or Associate Dean writes an independent evaluation. Student evaluations are required if the tenured faculty member has teaching duties, and the written report is filed in the PAF. In addition, the CBA requires that the peer review committee chair and the administrator meet with the faculty member to discuss the evaluation. This is an opportunity to bring to his or her attention any problems or weakness that have been identified, as well, of course, as strengths. A chair may use the evaluation meeting to urge improvements in performance or behavior, but cannot require the tenured faculty member to take any action. Nor may the chair initiate any punishment or retaliation no matter how poor the evaluation.

Periodic evaluations can only be advisory, not disciplinary. No meeting is required following the periodic evaluation of a probationary or temporary faculty member.

All temporary faculty members who have taught two or more semesters shall receive a periodic evaluation. The only exception is a lecturer who taught only one semester in an academic year, although we strongly encourage that new lecturers be evaluated during their first semester especially if there is any likelihood of re-appointment in the future. Student evaluations are required if the lecturer has teaching responsibilities. The CBA differs on the evaluation process for full-time and part-time lecturers in one way. Full-time lecturer evaluations require peer review by a committee of the department and by appropriate administrators (usually delegated by the Dean to the chair). Part-time lecturer evaluations require only an opportunity for peer input and review by the administrator. However, the common practice of the university requires a full committee review for part-time as well as full-time lecturers, and this remains a best practice. Some chairs sign their concurrence on the peer review committee's recommendation. The contract actually requires that the administrator evaluate the faculty member, so if you choose to sign that you concur, be sure that you actually have read the record and agree with the evaluation based on independent investigation.

Periodic evaluations of lecturers should never include any reference to reappointment. The evaluation and appointment processes should be kept strictly separate. After the periodic evaluations have been completed, the chair or a committee (either the peer review committee or a separate committee constituted for this purpose) should base their hiring decisions on the careful consideration of each lecturer's application for reappointment and periodic evaluation.

SEPARATION

When a faculty member resigns, retires, or is otherwise no longer employed on campus (referred to as "separation"), he or she must formally check out, which includes returning all university property. . The chair, as the manager/lead of all faculty and staff employed in the department, is ultimately responsible for the return of all departmental property by the departing employee. The separation process begins by filing an online Separating Employee Clearance Form which alerts other university departments (such as the Library, Key Issue, and CMS) of the impending separation. Human Resources site includes this form, contact the office at 707-826-3626 to help the employee and the chair through the process.

DEALING WITH PROBLEMS

Chapter III addressed how to use conflict resolution to minimize faculty problems. But what do you do when conflict resolution fails? Not all situations can be ameliorated through rational conversation and compromise. Some faculty members consistently create tension and trauma, some personalities inevitably clash, and even the best colleagues may go through a difficult period. On rare occasion, you may need to handle an especially serious matter such as sexual harassment, substance abuse, oral or written threats, or claims of retaliation. What do you do when faculty members act badly?

The most important word of advice any chair can receive is do not act alone. You are a teacher and scholar, not a therapist, lawyer, or social worker. You cannot and are not expected to intervene in all faculty disciplinary situations. What you can do, first, is evaluate the situation and determine if you have the knowledge and skills to address it. Will conflict resolution techniques work in this case? What information do you need to assess the situation, and who has it? Is this a unique situation, or the continuation of an ongoing problem? What attempts have previous chairs made to resolve the problem? If you can identify some reasonable steps that might help, take them. Talk to the offending faculty member, and try to impress upon him or her that his or her behavior is affecting other members of the department. Find out if there is a simple precipitating cause for the behavior. Perhaps your colleague is undergoing a personal crisis and simply needs a shoulder to cry on. Perhaps a probationary faculty member doesn't understand the culture of this campus, or is having some difficulty making the transition from graduate student to professor. In some cases, a little extra mentoring might do the trick.

If a problem persists—if the problem turns into a problem faculty member—seek advice and help. You most likely will first turn to your Dean or Associate Dean. In some cases, it might be to a special office on campus. For example, if you are concerned that a medical condition is interfering with the faculty member's performance, you might decide to contact The Office of Academic Personnel Services and Human Resources which oversees fitness for work rules. Be aware, however, that faculty rarely are required to submit to fitness for work examinations. The Sr. Associate Vice President for Faculty Affairs and Human Resources is always available for consultation, before or after you talk to your Dean. Before the problem becomes too big for you to handle, get out there and consult.

On rare occasion, it may be necessary discipline a faculty member. The CBA specifies that a faculty member may receive from an appropriate administrator an oral and/or written reprimand. When necessary, the President may also initiate disciplinary action. Discipline may involve dismissal, demotion, or suspension without pay. It is assumed that attempts will be made to resolve problems short of formal reprimands or discipline. In most cases, this will be successful. But on those rare occasions that a faculty member consistently behaves badly or the action is so extreme as to warrant immediate response, it is appropriate to use the tools provided by the contract. Note that a chair or director is a member of the faculty bargaining unit, and is not considered to be an "appropriate administrator." Therefore, while you might place a letter of counseling in a faculty member's file, you would not issue a reprimand or initiate disciplinary action.

The philosophy of discipline for both faculty and staff is that it should be swift, appropriate, and progressive. Discipline is most effective when it responds quickly to a transgression. It should also be of a scale or type appropriate to the behavior. You would not suspend someone without pay for forgetting to turn in an assigned time report or demote them for bursting out in anger once in a faculty meeting. For a first offense of a minor nature, it is most reasonable to give a verbal warning. If the problem repeats itself, or it is of a more serious nature, the warning should be in writing and placed in the PAF. You need to do this to establish a "paper trail" in case this faculty member persists in unprofessional behavior. Always consult your Dean or Associate Dean, or the Sr. AVP for Faculty Affairs, before you take action. The next step would be a formal reprimand, usually given in writing by the Dean. Letters of reprimand are removed from the PAF after three years upon request of the faculty member. If a reprimand does not correct the problem, it might be necessary to take the next step and initiate disciplinary action. That would be coordinated by the Sr. AVP for Faculty Affairs in consultation with the Dean and the Provost. The purpose of all these actions is to make it clear that there is a standard of conduct to which faculty are expected to adhere and that there are consequences should a faculty member refuse to abide by these standards. The ultimate goal is to produce a collegial and respectful atmosphere that enables faculty and students to carry out the mission of the university.

CHAPTER V: COLLECTIVE BARGAINING AGREEMENTS

Humboldt State is governed by collective bargaining agreements between the California State University and various employee unions. The California Faculty Association represents the faculty (Unit 3), including tenured and probationary faculty, temporary faculty (lecturers), librarians, counselors and other Student Service Professionals Academically-Related (SSPARs), and coaches. The contract between CSU and CFA is sometimes referred to as the Collective Bargaining Agreement (CBA) or Memorandum of Understanding (MOU). CBAs also exist with several staff bargaining units, and in 2005 a collective bargaining agreement was reached between the CSU and the United Auto Workers on behalf of Unit 11, academic student employees (teaching associates, graduate assistants, and instructional student assistants). The first sections in this chapter deal with certain relevant sections of the CBA between CSU and CFA. A section on the Unit 11 agreement can be found at the end of the chapter. The Sr. AVP for Faculty Affairs has been designated by the President to administer both the Unit 3 and Unit 11 agreements. Questions regarding either one can be directed to Academic Personnel Services at 826-5086 or via e-mail (aps@humboldt.edu).

GRIEVANCES

When a faculty member believes that there has been a violation or misinterpretation of the CBA or that she or he has been directly wronged in connection with any rights accruing to employment, he or she may file a grievance. The procedures for filing and adjudicating grievances, which changed dramatically in the new CBA, can be found in Article 10. A faculty member must choose one of two paths: 1) statutory, in which a faculty committee hears the grievance; or 2) contractual, in which the grievance is presented before a hearing officer (the Sr. AVP for Faculty Affairs at HSU). If the grievance arises from a matter that is not covered by the contract, the grievant may select only the statutory path. A permanent Article 12 Umpire may hear grievances filed by temporary faculty members in a shortened and expedited procedure.

Chairs may become involved in faculty grievances because of their specified roles under the contract. Since the chair is one of two reviewing entities at the departmental level of review in the RTP process, you might be called to testify in an arbitration hearing over a reappointment, tenure, or promotion dispute. CSU and CFA arrange the arbitration in accordance with the provisions of the CBA. Otherwise, chairs are most likely to be involved in grievances involving evaluations or appointments because of their responsibility for assigning faculty workload. For these cases, it is most helpful if you familiarize yourself with CBA provisions, seek advice whenever you are the least bit uncertain, and keep good records and files. In most cases, grievances are resolved before they get to the point of arbitration. You may be asked to provide information, and nothing else. Don't worry too much if you make an error; there is usually a reasonable solution that will satisfy all parties. If the matter does go to arbitration, the AVP for Faculty Affairs or CSU Counsel will carefully prepare you. On rare occasion a case may go outside the university, and you will find yourself involved in a legal situation. Subject to certain exceptions, the California State University will provide for the defense of a civil action brought against an employee or former employee on account of an act or omission in the scope of employment. See Cal. Government Code sections 995-996.6.

LEAVES

The CBA defines several types of leaves: leaves of absence with pay, leaves of absence without pay, sabbatical leave, difference-in-pay leave, and sick leave. Most leaves are not automatic, but must be granted by the President.

Leaves of absence with pay cover specific events and situations and chairs are rarely, if ever, called upon to do anything about them. Examples of reasons for paid leaves are bereavement, maternity/paternity, jury duty, voting, absence as a witness, emergencies, and military service.

Parental Leave is of particular interest to chairs, since such leaves typically last longer than other leaves with pay and require more creative solutions for the department. A faculty member is entitled to 30 days of paid leave (that's working days, so roughly six weeks); a maternity leave may be combined with an additional 15 days of sick leave. If a medical condition requires it, further sick leave may be granted. A reduced workload for the full semester is also an option. What options exist for chairs when a faculty member is out for six to eight (or more) weeks during a semester? Some departments have attempted to cover the classes by calling upon volunteers among the absent faculty member's colleagues, perhaps aided by a graduate assistant if one is available. Such a collegial effort would need to be coordinated by the chair to assure that someone is in charge (probably the chair), checking to see that classes are covered, student needs are met, and work is flowing appropriately. The faculty member on leave needs to be shielded from these responsibilities so she or he can concentrate on the new infant. Another solution is to hire a substitute to teach the classes. This is likely to be easier on everyone, assuming that your college has sufficient resources. Colleges are supposed to keep emergency funds for these circumstances, so talk to your Dean's office.

Sick leave is a benefit provided to the employee, and the contract specifies when the President may authorize it. A faculty member is responsible for immediately reporting an absence to the appropriate administrator, normally the chair, and completing and signing an absence form. When faculty are absent from their assigned duties for illness or injury, medical examinations, death or illness in their family, or an extension of maternity/paternity leave, they are expected to use their sick leave. The university may require written documentation from a doctor. While no chair wants to be in the position of sick leave police, it is important to inform your faculty of its obligation to use the sick leave benefit as it was intended. You or your administrative coordinator should also do your best to make sure that they file appropriate attendance reports.

Leaves of absence without pay (LWOP) come in two varieties, personal and professional. A faculty member may use a combination of paid and unpaid leaves in a given year. Personal leaves may be for the purpose of unpaid sick leave, maternity/paternity leave, family care, or outside appointment. A personal LWOP may be 100% or a fraction thereof, for one or two semesters. When a faculty member takes a personal LWOP (regardless of the time-base of the leave), he or she does not accrue service credit toward probation, sabbatical or difference-in-pay leave eligibility, salary service increase eligibility, or seniority (there are some exceptions, but a chair is not expected to know them). In essence, the year does not count. Professional LWOPs are granted for the purposes of research, advanced study, professional development, or other purposes that benefit the university. Faculty members on professional LWOP do accrue service credit, unlike those on personal LWOP, but only for one year.

The new CBA has guidelines for when the President shall and may extend the probationary period (or "stop the clock"). It must be stopped when the faculty member is on a one-year leave for pregnancy/birth or adoption, for the duration of a personal leave without pay, or for one year of a two or more year professional leave without pay. It may be extended for one year only when the faculty member takes any kind of leave with or without pay for less than one academic year. The Sr. AVP for Faculty Affairs approves the extension of the probationary period on behalf of the President. As a general rule, the faculty member must be on leave for at least 50% of one semester to stop the tenure clock.

Tenure-track faculty members who wish to take a personal or professional LWOP submit a request form (on the Academic Personnel Services Web site) to the Sr. AVP for Faculty Affairs. The chair and the Dean must approve the request. Please be aware that it is not appropriate to approve a leave for a faculty member who has accepted or is contemplating accepting another permanent job (academic or otherwise). Tenure-track lines are precious resources, and it is not in the best interest of the university to hold them open while colleagues "try out" another job. Temporary faculty members may also apply for a personal or professional leave of absence without pay. Temporary faculty members who receive a leave of absence without pay retain all appointment rights as if they were in work status.

Sabbatical leaves are granted for purposes that provide a benefit to the university, such as research, scholarship, or creative activity. Faculty members (including lecturers) are eligible for a sabbatical if they have served full-time for six of the preceding seven years, and at least six years have passed since their last sabbatical. The policies and procedures outlined in the CBA are supplemented by Academic Senate policies (see Professional Leave Committee in Faculty Handbook). The CBA requires that a professional leave committee review all sabbatical proposals. The chair's responsibilities include forwarding all applications to the Dean, and providing a statement regarding the effect on the curriculum and operation of the department if the sabbatical is granted. The university is required by the CBA to grant a specific number of sabbaticals based on a percentage of eligible faculty members, after consideration of program needs and campus budget implications. Sabbaticals are competitive, and the number of applications often exceeds the number of available leaves.

Difference-in-pay leaves are similar to sabbatical leaves except for how compensation is calculated. Faculty members (including lecturers) are eligible when they have served full-time for six of the preceding seven years, and at least three years have passed since their last sabbatical or difference-in-pay leave. The procedures outlined in Leave section of the Academic Personnel Services web page parallel those of sabbatical leaves, except that proposals are not ranked.

CalPERS service credit may be affected by various leaves. It is strongly advised that the faculty member contact CalPERS directly for information.

FACULTY EARLY RETIREMENT PROGRAM (FERP)

The Faculty Early Retirement Program (FERP) permits a faculty member, upon retirement, to teach one semester in the academic year or half time throughout the year. Under the current CBA, faculty members may take advantage of this program for up to five years. The faculty member must request a specific period of employment (e.g., fall or spring semester), and may change that period of employment by request to the President (or his/her designee). The President may also determine that it is necessary, due to programmatic needs, to change the period of employment. Typically, the President would do so upon the request of the Dean, who in turn would respond to the needs of the department. The President would attempt to reach a mutual agreement with the faculty member, but if it cannot be reached, it is the President's prerogative to make the final determination. The faculty member may also request a reduction in time base, but that reduction continues for the duration of the FERP appointment. FERP participants may request one leave of absence without pay for medical reasons, which does not extend their period of FERP.

During their period of employment (that is, the semester or semesters they teach), FERP participants are required to perform normal duties and activities. They may serve on governance committees, including peer review committees, if the committee's assignment is normally completed during the period of employment. They also may vote on departmental matters. FERP participants may not receive compensation for any state-funded additional employment or overload, but may do so through the Sponsored Programs Foundation since it is not a CalPERS employer.

SALARY

Salary matters are laid out in Article 31 of the Collective Bargaining Agreement. The only specific role for the chair is that she or he receives applications for market adjustments and makes a separate recommendation to the Dean.

LAYOFF

It is most important for chairs to understand what layoff is and what it is not. Layoff is the involuntary separation or reduction in time base of an employee when the university determines that there exists a lack of work due to insufficient funds or programmatic change. Only the President can determine the need for layoff. The President must inform the CSU that there may be a need for layoff, and the CSU in turn notifies the CFA. The two parties are required then to meet and consult on alternatives to layoff. Should attempts to avoid layoff fail, layoff proceeds by deliberate steps clearly laid out in the contract. The CBA defines the unit of layoff (for faculty employees, it is the department or equivalent unit), the order of layoff, exceptions to layoff, and requirements for notice of layoff. There are also specified options in lieu of layoff and a description of recall rights and opportunities.

Not all involuntary separations or reductions in time base constitute layoff as defined by the contract. Part-time lecturers with conditional appointments need not be laid off if budget or enrollment considerations eliminate their positions. Even if a part-time lecturer is in the midst of a three-year contract, his or her appointment is still conditional upon budget and enrollment, and if the courses do not exist, the university is not obligated to declare layoff. However, the terms of the three-year contract remain in force, and the program is obligated to offer the lecturer classes if they exist in the next year of the contract. For these reasons, it is important not to use the word "layoff" when referring to the separation of a part-time lecturer.

Note that full-time lecturers have unconditional appointments, so they can only be let go during the life of their contract through layoff. If the full-time lecturer has a one-year appointment, there is no obligation to rehire them the next year. But if he or she is in the first or second year of a three-year contract, they must be rehired or laid off.

Should the President conclude that budget reductions or programmatic change require the separation of any faculty employees other than part-time lecturers with conditional appointments, then all separations must be done under the layoff provision. This means that part-time lecturers as well as anyone else would have to receive notice of layoff. Only tenured and probationary faculty members have recall rights under the contract.

UNIT 11 (ACADEMIC STUDENT EMPLOYEES)

Unit 11 covers three classifications: Instructional Student Assistants (undergraduate or graduate student workers whose employment includes at least 50 percent teaching, grading, or tutoring), Graduate Assistants, and Teaching Associates. Collective bargaining marks a potential change in the atmosphere surrounding the faculty/student relationship. As managers and administrators, chairs need to do their best to ensure that the provisions of the agreement are met, that the faculty understands its responsibility under collective bargaining, and that the fundamental educational mission of the program remains pre-eminent. Academic student employees are both students and employees, and one of the chair's tasks is to distinguish when their grievances and concerns arise from their role as students and when from their status as employees. Only the latter is covered under collective bargaining.

The collective bargaining agreement is too long and detailed to cover in its entirety, but the following paragraphs address some of the areas chairs will handle most often.

APPOINTMENTS, POSTING AND NOTIFICATION

The appointment process must be more formalized and regularized under collective bargaining. ASE positions can be open, committed, or emergency. Committed positions are those offered to a student as part of a recruitment package or that result from an existing advising relationship with a faculty member. Emergency positions are those that begin less than a week after they are open. All other positions must be posted on a central university Web site, and may be posted elsewhere at the department's discretion. Once an appointment is made, the student employee must be sent a written notification. Finally, as soon as is practicable, the department should provide the employee a job description that sets forth the specific duties of the position.

GA and TA appointments of one semester are not conditional; the first semester of a multi-semester offer is similarly not conditional, although subsequent semesters may be conditioned upon budget and enrollment. All ISA positions are conditional. Employees may be reassigned for "operational needs," which means that if you discover early in the semester that a TA cannot handle classroom duties, you can pull her or him out of the class and into other duties. An ASE can also be removed for academic ineligibility within the first five weeks of the semester. However, if a problem arises from conduct, then we must use the discipline procedure. Discipline is limited to a written reprimand or dismissal, and may be taken to arbitration.

EVALUATIONS AND PERSONNEL FILES

There is no requirement that departments conduct performance evaluations of ASEs, but if they are to take place, the criteria, schedule, and procedures must be communicated in writing, and cannot be changed during the appointment period. It may well be a good idea to institute a formal evaluation for these employees to provide information upon which to make reappointment decisions. A student employee who is unhappy with the content of an evaluation may submit a rebuttal, but can only grieve on procedural grounds (for example, because they did not get a copy of the criteria and procedures) or if alleging a violation of the nondiscrimination article.

Evaluations become part of the student employee's official personnel file, along with all information pertaining exclusively to employment in the bargaining unit. Don't mix up the personnel file with files kept on their progress as students. ASE personnel files are similar to faculty PAFs: they are confidential, access to them is restricted to people with official business who must sign a log, and filing notice must be given (14 days instead of five) when material is placed in the file. Department chairs shall be the custodian of all ASE files, and personnel actions must be based upon the file. Employees who disagree with anything in the file have 30 days to append material or request a correct of factual, non-evaluative information.

GRIEVANCE PROCEDURE

The grievance procedure has two levels: informal steps and formal steps. The chair's responsibility comes at the informal level. The first goal is to attempt to resolve conflicts within the department. The student employee should meet first with his or her lead worker, although this step is not mandatory. If there is no resolution at this step, the employee must meet with the person designated by the university to handle informal step 2 meetings. That person is the department chair in most cases. If the chair is the subject of the grievance, the Dean or designee will conduct the informal step 2 meeting. If the grievance cannot be settled informally, the employee may file a formal grievance which will be heard by the Sr. AVP for Faculty Affairs, and ultimately go to arbitration. Of course, we wish to do everything we can to avoid that conclusion, beginning with conscientious adherence to the terms of the collective bargaining agreement and continuing on to active and principled attempts to resolve complaints.

INSTRUCTIONAL MATERIAL, SERVICE AND SUPPORT AND TRAINING

The university is required to provide an ASE with access to workspace, texts, facilities, services, and instructional support that it deems required to perform work. The chair is the best person to determine what is necessary under the prevailing conditions of the department. If the assigned work requires a computer, it is reasonable to expect that you would provide the employee access to one. If a TA is expected to hold office hours, you should provide her or him space to do so, although you don't need to provide more space than you would to a lecturer. Best practice would be to apply a "reasonable person" standard when determining what is required and what is not.

All required training and orientation should be considered part of workload, and therefore compensated, with the exception of pedagogy courses and other training required as a condition of employment. What specifically will fall under this exception is not clearly laid out in the agreement, so, when in doubt, consult with Academic Personnel Services.

NONDISCRIMINATION

ASE complaints of discrimination based in employment should be referred to The Office of Academic Personnel Services and Human Resources. If the complaint is one of whistle-blowing or retaliation, refer the student employee to the Dean. In either case, if the discrimination is based on academics, the appropriate referral is to the Dean of Students.

WORKLOAD

Some GAs and all ISAs are non-exempt employees, which means that they are paid an hourly wage for all work assigned by their lead worker including work-related meetings. All TAs and GAs whose work involves research are exempt employees, which basically means that, like the faculty, they are hired into a specific position, and not on an hourly basis. Nonetheless, they must be assigned reasonable workloads, which is defined as the number of hours the university could reasonably expect a TA or exempt GA to satisfactorily complete the work assigned. The agreement states that reasonable workloads shall be measured by many factors, including hours normally assigned (based roughly upon a 40-hour per week full-time standard), nature and quantity of work, number of students, type of instructions, level of support, enrollment demand, and use of WTU's. Clearly, there is no simple formula for a reasonable workload, and conflicts between the department and its student employees may arise. Employees are expected to raise workload issues with their leads as soon as possible, and leads should take these concerns seriously and evaluate whether the assigned workload is reasonable. The chair, in particular, should step in when necessary to adjust student workload in compliance with the collective bargaining agreement and, more importantly, in the best academic interests of the student.

CHAPTER VI: STAFF

RECRUITMENT AND RETENTION

Like the recruitment and retention of faculty, the hiring of new staff employees is an important responsibility of the department chair. The technical/support staff provides the human power that drives the academic engine. They are in the trenches dealing either with the day-to-day operations of the department or working with the faculty and students in laboratory settings. They are often the initial contact for students, parents and the public seeking department information and are the liaison between the department and other units on campus. Because of their key role in the administration and operation of the department, it is important that appropriate time and energy are devoted to the recruitment of new staff members.

Staff employees belong to several different bargaining units and are represented by a number of different unions. The California State University Employees Union (CSUEU) covers Units 2, 5, 7, and 9, which represent those staff members most likely to work in academic departments. Some academic departments may also have staff members who belong to Unit 4, represented by the Academic Professional of California (APC).

New and replacement staff positions are requested through your Dean's office. You will be asked for a written justification for the position as well as the time-base for the appointment. Depending upon operational needs and budgetary constraints, staff appointments may be made on a temporary or permanent basis. If approved, you will then need to develop a detailed job description and form a search committee. Search committees for APC (Unit 4) positions must include at least one Unit 4 employee, who may come from your own or another department. Since job classifications are governed by the collective bargaining agreement, you should review information regarding CSU Job Classification Standards at the Human Resources Web site. The classification standards have also determined for each CSU classification whether the classification is exempt or non-exempt (see Exempt/Non-exempt section below.) While minimum requirements should conform to these classifications, you may add specific duties, skills or experiences directly related to your discipline. You should work closely with your Dean's office and HR as you craft the job description. Once approved by HR, the job is posted on the HSU website for a minimum of fourteen (14) days. For highly specialized staff positions, additional time and use of additional recruitment sources may be required. Review the Staff Recruitment Handbook for additional advice.

Following the application filing deadline, HR will screen the applications for minimum requirements, and then forward them to the search committee for review. Human Resources will conduct an initial meeting with the search committee regarding applicant pool and search guidelines and procedures. To help evaluate specific skills, it may also be appropriate to create a performance exercise for applicants. You should work with HR in developing this exercise. Once the oral interviews, performance exercises (if used) and reference checks are completed, justifications for recommendation and non recommendation of interviewed candidates are forwarded to the Hiring Authority and then to HR for approval.

Positions that are considered permanent require that the new staff member be hired as a probationary employee. Probationary employees who are hired full-time serve a one-year probation period. Temporary employees in the CSUEU and APC bargaining units may also earn permanency after four consecutive years of service. Performance evaluations should be carefully completed for probationary and temporary employees. Performance evaluations for probationary employees should be completed at the end of the third, sixth and eleventh month to evaluate the employee's progress in the position. Temporary employees should be evaluated periodically. Probation periods, permanent status, and performance evaluation processes are delineated in the CSUEU and APC collective bargaining agreements, which can be accessed at the Human Resource site.

HSU considers the retention and on-going education/training of staff a high priority. Various compensation options and professional development opportunities for staff members are available through the university. If you or an employee is interested in finding out more about these programs, you should contact The Office of Academic Personnel Services and Human Resources.

STAFF PERFORMANCE EVALUATIONS

All temporary, probationary, and permanent staff employees must receive performance evaluations each year. As the lead worker for all staff members in your department/school, it is your responsibility to complete and sign these evaluations. You may wish to consult with faculty and/or staff members who have more direct contact with the employee(s) you are evaluating. The Office of Academic Personnel Services and Human Resources will send you a memorandum regarding these evaluations along with a date for forms to be returned to their office. Forms and instructions on how to complete them are accessible at the Human Resources web page.

These annual performance evaluations are an important process for the staff and a good time to discuss progress towards meeting previous goals and to develop new ones for the coming year. Exceptional work by staff members as well as areas of concern and recommendations for correcting them should be noted in the written comment sections. Performance that is below satisfactory should be discussed between the appropriate administrator and the employee prior to documenting the Performance Evaluation. Before completing the performance evaluation, you should review the employee's report from the previous years The CSUEU Collective Bargaining Agreement (Article 10 Employee Performance) requires that you submit a draft evaluation to the employee for their input and discussion. The employee must be given five days to review the draft evaluation and provide input. You may consider their input in preparing the final performance evaluation report. You may also request the employee complete a self-evaluation for consideration in the final report.

The APC collective bargaining agreement (Article 18, Evaluation) requires that you use the special Unit 4 evaluation form for Unit 4 employees. The bargaining agreement requires that you submit a draft evaluation to the employee for his or her review and input. The employee must be given fourteen (14) days to submit a rebuttal (if any) to the evaluator before the evaluation is finalized. An employee may elect to submit any such rebuttal (accompanied by the draft evaluation it rebuts) to his or her personnel file.

Once the performance evaluation is completed, you should arrange for a meeting with the employee to go over the form. After discussing the content of the evaluation and making any mutually agreed upon changes, you should sign the final report. This report is then given to the staff member for their signature. The employee may include comments on the form or attach written comments to the form. Normally the employee should be given a maximum of three working days to sign the report and/or submit written comments before the report is forwarded to the appropriate administrator (typically the Dean or the Associate Dean) for signature. If the employee refuses to sign the report, you must indicate this on the form under Employee's Acknowledgment. Once signed, a copy of the report is given to the employee and the original is forwarded to The Office of Academic Personnel Services and Human Resources for placement in the employee's official personnel file.

While these reports are completed on a yearly basis, unscheduled reports may be prepared at any time for any employee. Either the department/school or the employee may generate the request for a special report. You should contact The Office of Academic Personnel Services and Human Resources for information regarding additional evaluations. Probationary employees must be evaluated by the end of the third, sixth, and eleventh month of the probationary period.

DISCIPLINE

For all questions about standards of conduct, reprimands, and discipline in relation to staff, chairs should contact the Office of Academic Personnel Services and Human Resources.

EXEMPT/NON-EXEMPT EMPLOYEES

Each CSU classification has been reviewed against the Fair labor Standards Act for exempt or non-exempt status. Most staff positions are non-exempt, which means the employee is eligible for overtime for any work over 40 hours in a work week (Sunday, 0000 hours to Saturday, 2400 hours) and the employee needs to use leave credits on an hour for hour basis for any absences. Check with your College office to find out what the policy is regarding allowance of overtime. Chairs must seek approval from the Dean prior to approving overtime.

LEAVE CREDITS

Staff employees earn vacation credit for each month worked. The number of hours earned is based on years of service. Staff employees also earn 8 hours of sick leave each month on paid status.

Monthly, staff employees are required to submit to Payroll via PeopleSoft Absence Management accounting for any leave credits used during that month.

OVERTIME

Non-exempt employees are entitled to overtime pay (Cash or Compensatory Time Off – CTO) at a rate of one and one half the regular rate of pay. All overtime must be reported to Payroll on a Form 32 (Overtime & Call Back Hours Report) on a monthly basis.

It is a violation of the Fair Labor Standard Act and the Collective Bargaining Agreements to authorize unofficial overtime and to track internally within the department.

CHAPTER VII: STUDENTS

UNDERGRADUATE ADVISING

HSU employs a dual model of advising. There are two sources of advising, and students should take advantage of both. Students who need assistance or clarification regarding graduation requirements, general education requirements, or university policies and procedures should visit the Advising Center in SBS-295. Questions particular to major requirements, career prospects for the major, and graduate educational opportunities are directed to the undergraduate adviser in the respective department. The Advising Center has a complete Advisor Handbook and is a good reference for common practices and procedures.

Within the department, the chair is responsible for assuring that the undergraduate program runs smoothly and that the department is meeting the needs of its students. Among his or her tasks, the chair, with the assistance of faculty advisers, may:

- hold informational meetings to "recruit" new majors (assuming your major is not impacted);
- participate in the new student orientations for transfer students and freshmen.
- keep informed about changes in requirements for the major (these vary according to the year that an individual student declares the major) and be able to explain these change to students;
- know which courses "articulate" (that is, are equivalent) between your department and local community colleges;
- know who your majors/minors are (you can request a list from PeopleSoft using Faculty Center Advisement link available at http://humboldt.edu/facultycenter/;
- communicate with your advisees when necessary using regular mail, e-mail, or messages. In the Faculty Center Advisement link you can send email to notify all or selected advisees at the above Web Address.
- from your Faculty Center you can obtain access to the HSU PeopleSoft “advisor” role so that you can access unofficial transcripts, degree evaluations, and class schedule for your advisees;
- all continuing students will have an advising hold placed on their records unit that is removed by their academic advisor (“Negative Service Indicator” is synonymous with the term “Hold”). Students cannot register until this is removed
- encourage students to form or participate in an undergraduate club or student association;
- schedule periodic get-togethers with the majors/minors and faculty members to foster a sense of community;
- recommend outstanding students for induction into the various honor societies (solicitations are sent to the department chair who can forward them to their undergraduate advisers);
- encourage undergraduates to apply for available scholarships; and
- serve as the primary contact person between the chair/faculty and students once a student has declared a major.

Undergraduate faculty advisers also works very closely with the chair should any problems arise with majors or minors. These might include poor classroom performance, complaints about individual professors, emotional or physical problems or trauma, economic hardship, cheating and plagiarism, or difficulties in adjusting to the university. The chair and the adviser frequently discuss and choose a course of action on issues such as these. Finally, the chair should encourage faculty advisers to maintain a working relationship with an adviser in the Advising Center for general questions and policy updates.

GRADUATE COORDINATOR AND ADVISING

Graduate advising carries its own unique set of tasks. The graduate adviser may:

- make admission decisions if required by department (some have admissions committees);
- oversee advancement to candidacy and determine when students who have been admitted conditionally are to become classified graduate students;
- work closely with Office of Academic Programs evaluators to ensure students have approved Programs of Study on file and request formally any exceptional changes to be made to degree requirements;
- make recommendations to the chair and the Office of Academic Programs regarding the reinstatement of students who have been disqualified;
- publicize the graduate program(s) to facilitate recruitment of the best caliber graduate students;
- serve as the primary contact person for prospective graduate students inquiring about the program (this necessitates their willingness to engage in e-mail "chat" and return exploratory phone calls);
- oversee—with the chair and other faculty members—classroom and research assignments;
- meet with graduate students to ensure they are “on track” with regards to degree requirements (i.e.: Program of Study, language fulfillment and completion of culminating experience);
- foster a sense of community by encouraging faculty to schedule and attend social events with graduate students (an early fall orientation off-campus is a good way to start off positively); and
- update the departmental newsletter or Web site on recently completed theses, research/travel study opportunities, and professional placement after graduation from HSU.

The graduate coordinator also works very closely with the chair should any problems arise with graduate students. These might include poor classroom performance, emotional or physical problems, trauma, economic hardship, or difficulty in adjusting to the program. The graduate coordinator and chair frequently discuss and choose a course of action on issues such as these.

RIGHTS AND RESPONSIBILITIES

The California State University is regulated by the California Code of Regulations. On this campus, there are two main sources for information on regulations that govern student behavior. One is the Student Rights and Responsibilities web site, especially the sections on Code of Conduct and Policies. The latter section includes the university’s Student Disciplinary Procedures (used when a student is accused of violating university policies or codes of conduct) and Student Grievance Procedures (used when a student alleges misconduct on the part of a member of the faculty, staff, or administration). The second is the HSU Catalog which has a section on University Policies that includes some of what you will find in the first two sources, as well as additional information on grades, course credit, student records, graduation, and so forth. Students are responsible for knowing the content of the catalogs, and abiding by the policies and regulations contained within.

As chair, you should help your faculty, especially your newest members, understand their options when faced with student misconduct. You may also on occasion need to address unjustified behavior on the part of a faculty or staff member toward a student. You may need to mediate between irate or unhappy students and faculty. Familiarize yourself with the university's codes and support structure when faced with these situations. Faculty members are encouraged to contact Student Affairs when they wish to discuss troublesome or challenging classroom behavior. Counseling and Psychological Services may also be contacted for feedback when mental health issues may be affecting a student's classroom behavior.

Faculty should also know that both Student Affairs and Counseling and Psychological Services offer several programs designed to help students make better choices for the future. This includes offering alcohol and other drug workshops if they are drinking or using drugs and psychological growth workshops that may be useful if they have problems getting along with professors or roommates. The Division of Enrollment Management and Student Affairs sets the standard for the university by holding students accountable for their actions but also, when appropriate, offering them tools to help ensure that this type of behavior does not occur again in the future.

It should be noted that the Chancellor's Office has issued an Executive Order that mandates reporting of all cases of academic dishonesty (cheating and plagiarism) to a central location. Student Affairs has prepared a form for faculty to use, and will maintain a database that can track students who have multiple infractions across departments and colleges. Remind your faculty that while individual professors are responsible for determining academic sanctions, they will also be expected to report incidents and make recommendations on further investigation and additional judicial sanctions to Student Affairs.

COMPLAINTS

Student complaints can arise from a large variety of situations. Students may disagree with their instructor's viewpoints in class, or believe that they have not been graded fairly on a particular assignment or over the course of an entire semester. A student may complain that the professor has an inflexible policy on make-up examinations or incompletes. Some students may communicate their concerns about a dysfunctional classroom environment, which might entail students feeling "unsafe" to express their opinions, rude or dismissive comments made by other classmates or the faculty member, or a pervasive air of hostility.

Whether undergraduate or graduate, students should first be encouraged to speak with the faculty member with whom they disagree. However, it is quite likely that the student has already attempted communication and felt rebuffed or misunderstood, is unwilling to approach the faculty member given that communication is already poor, or is only willing to talk with the faculty member if you are present as a mediator. Disputes of this nature are best dealt with quickly. If you receive a call or a drop-in visit from a student with a concern about a faculty member or a classroom situation, do not put off meeting with that student in the hope that the problem will disappear. By the time the student has garnered the courage to come speak with you, chances are the student is already dismayed and in need of being heard. Failure to listen and act swiftly increases the likelihood that the student will go to the Dean or another university office with this complaint. Your perceived reluctance to help foster a negotiated resolution may reflect poorly on your faculty and your ability as a chair to handle these situations "in house." However, students do have the right to go to the college Dean and/or the Office of the Ombudsperson if they are not satisfied with the results of your attempted facilitation.

When a student makes a complaint you should:

- Keep a meticulous paper trail of dates, concerns, and all specifics that the student mentions.
- Suggest that the student speak one-on-one with the faculty member involved. If the student agrees to do this, it is advisable to call the faculty member, say you spoke with the student, and they should expect a request for an appointment.
- Speak with both the student and the faculty member after they meet to evaluate if the situation has been appropriately resolved.

If the student wants you to mediate a meeting with the faculty member, set that up within two to three days. Letting time elapse aggravates an already impaired classroom environment and/or faculty/student dynamic. It is a courtesy to colleagues to inform them of the nature of the student's complaint before the meeting occurs so that they can collect necessary documents in order to facilitate a productive conversation. It is your goal as chair to work towards a negotiated settlement during this meeting. Leaving an individual faculty member (especially someone at a junior rank) to negotiate these situations is a bad idea. Suggest a couple of strategies to your colleague before the meeting to facilitate this negotiated approach. You may find, after speaking to the faculty member, that she or he is unmovable (for example, refusing to let a student make up an examination missed because of an illness that can be corroborated by a doctor's note), but you do not have the authority to overrule an individual faculty member in the conduct of their course and grading. However, few faculty members are that stubborn. It is in the gray areas that you can be of the most assistance by encouraging the student to accept responsibility for his or her deeds (or lack thereof) and the faculty member to be flexible in resolving the situation. When persuasion fails, you should direct students to the Office of the Ombudsperson, the next step in the Student Grievance Policy They also have the right to speak to the college Dean or Associate Dean if they are not satisfied with the resolution of the situation.

If complaints about a faculty member are numerous, keep a paper trail. You may decide to suggest to a faculty member that they contact the Employee Assistance Program. Note that you can only suggest, not demand, this course of action. You may also need to inform your Dean or the Sr. AVP for Faculty Affairs about a recurring problem. Do not try to manage difficult, stressful, or potentially dangerous situations by yourself with either students or faculty members. There is a network at HSU of people familiar with these situations that can intervene and assist you. As chair, you have countless duties, and demanding and disruptive students or colleagues should not be allowed to impair your ability to function in your job.

NOTE: If a student comes to you as chair with a complaint of sexual harassment you **must** (you do not, by law, have the choice not to act) report this within five working days to the Senior Associate Vice President for Faculty Affairs and Human Resources, who will guide the student in the appropriate procedures from that point forward. Do not make the mistake of "covering" for someone or hoping the student will forget about it and not mention it again. As chair, you will also be required to take a mandatory two-hour online training course on sexual harassment.

Faculty will on rare occasions have to deal with students they consider disruptive in class. If this happens repeatedly, the faculty member should inform the student that particular actions are considered disruptive, and that future recurrence is grounds to expel the student from the class. But know that faculty members do not have the authority to permanently remove a student from a class. They can, however, remove the student for a specific class period and then report the incident to the Dean of Students, at which time Student Affairs can assess the advisability of permanent removal of the student or transfer to another class depending upon the circumstances. It is important to remember that the standards of disruption, as defined by Title V, must be met before Student Affairs is able to enforce removal of a student. If the student's continued presence in the classroom is highly disruptive, Student Affairs can send a letter, or have a letter hand-delivered, to the student stating that they are not to return to that specific class until they have met with a judicial officer. If you feel there is the possibility of danger to the faculty member from a particular student, accompany the faculty member to University Police Department while he or she files a report with the officers. Watch for danger signs such as invasive or inappropriate e-mail, notes, or comments from the student; sexually suggestive or threatening remarks; and disruptive or upsetting classroom behavior. This is unnerving to faculty, and in some cases, to other students in the classroom, and they need your support and guidance when a situation like this occurs. In the event that a student is exhibiting odd, but not disciplinary-related, behavior, the appropriate referral might be to Counseling and Psychological Services, not Student Affairs. It is usually more effective to accompany the student there than to leave it to his or her discretion.

STUDENT ORGANIZATIONS

When you assume the responsibilities of chair your department may already have (an) intact student organization(s). In addition to department-related student organizations, the University has a Clubs and Activities Coordinator whose office serves as a support for student organizations, as well as a possible source of funding for student activities. At both the undergraduate and graduate level, these organizations can be extremely helpful to the department—and you as chair—in a number of ways. The Club Handbook has been compiled as a resource for conveying the policies and procedures that govern how club members may request assistance in accomplishing club goals. It is also a valuable resource for Chairs and faculty club advisors.

A student-run organization can help you contact your students should you need attendance at an upcoming event, feedback on a departmental issue, nominations for a paid work position off-campus, volunteers to meet with donors or community members, or contributors to your newsletter. Leaders of a student organization can also serve as excellent recruiters for majors (perhaps a mixed blessing for some, but a real plus for smaller departments). If your department awards scholarships, having a working knowledge of your majors and minors can help you identify the students so that they are more than "just a name" on an application. Finally, students who take an active role in the life of their department while at HSU are more likely to stay in touch once they graduate and become supporters and donors themselves.

Students benefit greatly from student organizations. They can provide a sense of community among your majors and minors. A departmental group helps students develop leadership skills, hone organizational abilities, and define their career goals more clearly. They provide formal and informal peer mentoring for incoming students, and a learning opportunity for specific skills needed for success in the classroom and beyond. Students may use these groups to organize panels of their own research for presentation at local/national conferences. This is particularly the case among graduate students, but many departments encourage undergraduates as well. In many cases, department-related student organizations can receive funding through their Colleges or the University to support scholarly activities for students.

The Office of Clubs and Activities provides club members an opportunity to apply for travel grants, up to $600 per club, per year. The grants are awarded on a first come first serve basis. During AY 2010-11 the office has $13,000 available for travel grants. These funds can be used for used for hotel, travel, and conference fees. We also have event funding,

Department-related student organizations can elect officers and apply for on-campus status as a recognized student organization in accordance with policies and procedures administered by the Office of Clubs and Activities (University Center South Lounge) within the Division of Student Affairs. This entitles them to submit funding proposals to the Associated Students for event funding. Your recognized student organization can co-sponsor activities offered by your department by contributing a nominal honorarium and be listed as an official co-sponsor. Conversely, you are encouraged to co-sponsor their events as well.

Event funding is also available through the Office of Clubs and Activities. Clubs and Activities Grants up to $1,000 and Cultural Programming Grants up to $2,500 are available for on-campus events and activities that are free to HSU students, and open to the community. The Clubs and Activities Grants are used to encourage student groups to put on high quality events or invite speakers, performers, and professionals to campus while the Cultural Programming Grants are provided for on campus events that promote social justice, educate and raise awareness of cultural diversity, equity, cultural celebrations and traditions. During AY 2010-11 $35,000 has been set aside for these grant programs.

To start and/or nurture an ongoing student organization, take the “pulse” of your students. Do they have an established group? If yes, ask if they have applied for and received official recognition as an approved student organization. You can check the online listing of recognized student organizations on the Clubs and Activities web page.

Student organizations must apply for on-campus recognition status in the office of Clubs and Activities. The Club Handbook explains the requirements for on-campus recognition status.

Assign a faculty member who is genuinely interested in working with these students, NOT someone who will just be a "signature person" to be their faculty advisor. Count this as departmental service for your colleague and keep tabs on the level of genuine input he or she contributes. Ask the faculty advisor to report briefly at department meetings so the faculty understands that you prioritize this work as well as the students’ efforts. The student organization's faculty advisor might schedule a social get-together during the semester with club members at a relaxed location, such as a faculty member’s home or informal setting on campus. This is part of fostering a sense of community, and reflects a genuine interest in their efforts and concerns.

Logistically, if you are the first to start such a group, use e-mail, hard copy notices and sign-up sheets circulated in required classes for your majors and/or graduate students. Give plenty of advance warning for the first meeting, provide snacks, schedule it at a convenient time (the noon hour works well), and attend it yourself along with the faculty advisor. Keep a current e-mail list of recent and former graduates to facilitate communication. You could also devote part of your departmental web page to tracking the activities of the club and the careers of recent and past graduates.

Be sure that any on-campus event of the student organization has gone through the Event Approval Process with the Office of Clubs and Activities at least five working days in advance of the event. The event application must be signed off on by the Club Representative, Faculty Advisor, Clubs Coordinator, Building Coordinator, and University Police Department.

Notify your students of departmental activities. Despite the demands we all face, we are trying to create an intellectual community. Student participation in events is essential, and student organization leaders can help facilitate the attendance of other students. Getting involved on campus is time consuming but it makes a new and enhanced atmosphere for college life, providing students a way to dialogue with their peers and reach out to others to educate a community about their ideals and dreams.

CHAPTER VIII: UNIVERSITY ADVANCEMENT

FOSTERING A CULTURE OF PHILANTHROPY

State funding is no longer sufficient to support the faculty, students and programs at HSU. Ongoing and new projects within the university require non-state dollars if they are to be sustainable and achieve excellence. The university has fundraising priorities which may involve your department or individual faculty members. In partnership with University Advancement, you can play an important role in identifying sources for raising funds, reaching out to prospective donors, and helping share HSU's success stories.

UNIVERSITY ADVANCEMENT

One of HSU's four divisions, University Advancement is responsible for a wide range of activities which aim to increase recognition of the university, enhance alumni engagement and increase philanthropic activity. Advancement works with alumni, parents, faculty and staff donors, friends of the university, and the community to generate the external recognition, support, and financial resources the university needs to attract outstanding faculty, recruit qualified students, enhance academic quality and enrich the campus community.

Within Advancement, Development and Alumni Relations cultivates lifelong relationships with alumni and facilitates fundraising activities at HSU, working to build relationships with faculty, volunteers and donors to help meet campus-wide and program specific needs. Marketing & Communications builds an understanding of, and pride in, the university throughout the campus community, the media, prospective students, community leaders and elected officials. KHSU, the public radio station licensed to and supported by HSU, provides a valuable public service by broadcasting a diverse array of news, educational programs and music to a population of about 135,000 people on the North Coast.

THE HSU ADVANCEMENT FOUNDATION

The HSU Advancement Foundation (HSUAF), a CSU auxiliary organization, is the university's philanthropic tax-exempt foundation, serving as the cornerstone of HSU's fundraising efforts. The Board of Directors is comprised of eighteen members with representation from the community, faculty, administration, alumni, and students. Their expertise, fiduciary oversight, and advocacy support the University, and the members recognize the need to expand opportunities for philanthropic success. The board supports and advances the mission of Humboldt State University by securing private donations, developing and managing entrepreneurial activities, overseeing philanthropic activities, and managing endowed and other assets.

DEVELOPMENT AND ALUMNI RELATIONS

The Office of Development and Alumni Relations works to forge relationships and create opportunities for donors to make a difference at HSU. Private funds are used to support student scholarships, academic programs, faculty development, student success, educational infrastructure, and program innovation. Development and Alumni Relations also works to foster a strong, dynamic, lifelong alumni community connected to each other and involved in supporting HSU's future.

HSU actively seeks sources of private funds that will allow the university to build on its strengths and priorities in teaching, research, and sustainability. There are three primary fundraising programs:

- The annual giving program solicits gifts on an annual basis from alumni, parents, family members, faculty, and staff using student callers, direct mail and e-solicitations. This program focuses on soliciting unrestricted funds to be used in areas of greatest need, anywhere across campus, although many annual donors designate their gift to a department or program of their choice.
- The major gifts program focuses on securing gift commitments of $25,000 and above. These gifts may be payable over a number of years and may include estate or planned gifts.
- HSU's gift planning program focuses on creative ways to support HSU where the university, the donor and the donor's beneficiaries can all benefit. Planned gifts may include cash, equities or real estate.

The donor relations and stewardship team seeks to sustain and deepen the relationship between the university and its donors through thoughtful acknowledgement, recognition, communication, and engagement. They strive to foster lifelong relationships with donors and instill in them the trust that their gifts are an investment in the success of HSU.

Alumni Relations regularly communicates with alumni about campus happenings, sponsors events and programs that enable alumni to stay connected with the university, manages in-person and online alumni networks, and provides tools to assist alumni with their careers. Alumni Relations hosts informal events up and down the West Coast to maintain alumni connections with HSU and build a dedicated cohort of committed supporters of the university.

The Office of Development and Alumni Relations is also home to the university's comprehensive data base of alumni and donor information. The data base stores and retrieves relevant prospect and donor information. Staff conduct specialized research that helps fundraisers assess a prospect's affinity for HSU (and specific colleges, departments and initiatives) and financial capacity to make a gift to the university. These central files are highly confidential and carefully secured, and form the backbone of HSU's development and alumni relations programs.

Oftentimes, departments are in the most frequent contact with alumni. Please be sure to let us know if you learn of any address or career changes of your alumni. This information helps the entire university community communicate better with alumni and recognize their achievements.

If you are interested in a direct mail or phone communication effort on behalf of your department, these can be scheduled to take place during mid-spring (March/April). Departments should complete a Communication Form. Development and Alumni Relations will provide mail merging of alumni names and addresses, as well as embedded "ask amounts" based on individual giving histories. Departments bear responsibility for the costs of printing, handling and mailing which can be arranged directly with Marketing & Communications.

If you are interested in reaching out to a particular individual or company in an effort to secure a gift to your department or program, please contact University Advancement (x5101). They will help you determine whether the individual, corporation or foundation is already engaged with the university or has been cleared for cultivation or solicitation by another area of the university.

MARKETING & COMMUNICATIONS

Marketing & Communications shares stories about the university's many successes. Its goal is to create stronger connections between Humboldt State and its key audiences – including prospective students, current students, faculty and staff, alumni, benefactors, and the community. Priorities include student recruitment, reputation building, alumni engagement and philanthropy.

The office is also responsible for campus-wide communications initiatives, including crisis/issue communications, media relations, state government relations, overseeing the university's brand identity, and serving as a point of contact for the media. The office coordinates Commencement ceremonies each spring, which is a major effort involving individuals from across campus. Active participation by faculty is vital to the event's success, and both graduates and families enjoy sharing their moment with a favorite professor.

Marketing & Communications has expertise in areas including print and web design, photography, media relations, printing, copying and bulk mailing. Its approach is primarily client-based – which means working in collaboration with campus units to develop a marketing approach to help them achieve their overall goals. Staff are available to consult about options and approaches.

There are three units within Marketing & Communications – Creative Services, News Services and Print Services.

Creative Services is made up of web developers and designers, print designers and a photographer. This team can develop a range of communications tools, including posters, brochures, invitations, simple to complex websites, multimedia presentations and much more.

News Services is responsible for responding to media inquiries and "pitching" stories to media at the local, state and national level. Often they ask faculty members to take part in media interviews about their work or their departments, and this is an important part of the university's outreach effort. In addition, the News Services group handles a variety of writing projects, manages the HS NOW news website and email, and produces the twice-annual Humboldt Magazine. Faculty who are contacted by the media about topics beyond their academic expertise (such as campus policy or plans) are asked to contact News Services at x3321.

Print Services offers an array of printing and copying services, including full color process, large format vinyl and fast-turnaround copies. The staff will help find the best solution at the best price, whether it is done on campus or through a network of commercial printers. In addition, the bulk mail service can save on postage as well as labor costs related to labeling.

Marketing & Communications is expected to generate revenue from the campus units and auxiliaries it works with, which partially funds the unit and provides a small amount for general campus marketing. Charges of $58/hour apply to design, photography and copywriting. The costs for printing, copying and bulk mail are more complex, but as a general rule the campus client is expected to cover hard costs as well as labor costs. These charges are highly competitive and, for the quality, usually cannot be matched off campus.

If you have an idea for a press release or story, contact the News Services team at x3321 or use the submission form at http://now.humboldt.edu/submit/news.

If you would like to start a job – such as a copy project, brochure, poster or website – you can use the "start a new job" submission form at http://www.humboldt.edu/marcom/. You can also call the Marketing & Communications main number at x3321.

CHAPTER IX: HSU SPONSORED PROGRAMS FOUNDATION

Grant and contract proposals are submitted through and administered by the Humboldt State University Sponsored Programs Foundation. Cradle to grave services are provided to faculty and staff interested in obtaining external funding for their research and other sponsored activities. The Sponsored Programs Foundation works closely with chairs and Deans to facilitate the research and other sponsored activities of HSU.

The Sponsored Programs Foundation assists with the identification and dissemination of grant information to the university community. The staff receives and distributes information to HSU faculty about federal, state, and private funding sources; hosts workshops; and provides program guidelines, application materials, and information about funding agencies and the federal budget.

PROPOSAL DEVELOPMENT

The Sponsored Programs Foundation can assist with budget preparation, negotiation of awards, completion of application forms, contacting sponsors, compliance issues, and proposal submission. This is the pre-award unit and the office faculty should contact once a sponsor has been identified and a proposal is being developed. All faculty research and other sponsored activities proposals must obtain institutional authorization from the Foundation before they can be submitted.

Faculty should seek the chair's advice on the steps involved in research proposal preparation and submission. The chair needs to understand the responsibilities each campus entity has, and on the Sponsored Programs Foundation Routing Form, which accompanies all proposals, the chair, in conjunction with the college Dean, will be responsible for agreeing to the submission of the proposal and all stipulations that impact the department. This includes faculty who need space to carry out research activities, as well as those who need additional release time and/or cost-sharing resources. By signing the Routing Form, the chair and Dean are approving the proposal in its current form and all stipulations relating to the department. Accordingly, if a faculty member is asking for more space or release time, or cost–sharing commitments as a stipulation of carrying out a particular project, this must be stated in the Routing Form and by signing that form, the chair and Dean have agreed to fulfill those stipulations.

PROJECT ADMINISTRATION

All post-award services for research grants and contracts are provided through the Sponsored Programs Foundation. The information necessary to understand all aspects of award administration can be found at the HSU Sponsored Programs website (http://www.humboldt.edu/hsuf/). Once a grant has been awarded, the Grant Analysts at the Sponsored Programs Foundation are responsible for monitoring the progress of the project and working in partnership with the P.I. to ensure all fiscal and administrative terms and conditions of the award are met. The efficient administration of awards is dependent on the relationship between the Principal Investigator and his or her assigned grant analyst. The grant analyst is also responsible for assisting the P.I. with the financial administration and compliance related aspects of the funds including budget monitoring and ensuring all funds are properly expended as dictated by the policies of the funding agency. Moreover, the grant analyst and the PI share the responsibility of completing any year- and project-end reporting that is required by the granting agency, documenting any matching funds or shared costs, and managing any sub-recipient agreements.

APPENDIX I: CAMPUS RESOURCES

Academic Affairs Budget

This office is responsible for providing financial data to be used in the analysis and planning of the operating budget for the Office of Academic Affairs.

Academic Personnel Services (APS)

Siemens Hall 207, 826-5086, aps@humboldt.edu

APS provides support to faculty, staff, and administration regarding implementation of the Unit 3 Faculty Collective Bargaining Agreement. APS manages various personnel processes including: faculty recruitment, faculty retention, tenure, and promotion; faculty grievance/arbitration; sabbatical/difference-in-pay leaves; faculty compensation programs; and retirement programs such as the Faculty Early Retirement Program and Pre-Retirement Reduction in Time Base Program.

Academic Personnel Services also supports the implementation of the Unit 11 Academic Student Employee Collective Bargaining Agreement. We provide support to Teaching Associates, Graduate Assistants, and Instructional Student Assistants in regards to: appointment notification and hiring processes; student grievance/arbitration; and posting of vacancy announcements.

Academic Policies and Regulations, Index of

This website is maintained by the Office of the Registrar. It includes a complete listing of current academic policies and regulations based on the best information available at the time of posting.

Academic Programs and Undergraduate Studies, Academic Policies and Regulations, Index of

Siemens Hall 217A, 826-4192

The Office of Academic Programs and Undergraduate Studies provides leadership in maintaining a university-wide perspective on the development and evaluation of academic programs and the Vice Provost represents this broad perspective on the Integrated Curriculum Committee. This office is responsible for coordinating assessment activities, program reviews and accountability, and campus accreditation activities. It coordinates with the Chancellor's Office in securing approval for new programs..

Accessible Technology Initiative (ATI)

The ATI is an initiative from the Chancellor's Office to make HSU's information technology accessible to all students, faculty, staff and the general public regardless of disability. There are three major priorities: Web Accessibility, Instructional Materials, and Procurement. The Chancellor's Office has established timelines for each of the three priorities The ATI steering committee has developed online trainings and face-to-face workshops to help faculty and staff make your content accessible. There are also many online resources posted on the ATI web site.

Admissions, Office of

Student Business Services 1st Floor, 826-4402

The Office of Admissions provides information for prospective and newly admitted students.

Advising Center

Student Business Services 295, 826-5224, advise@humboldt.edu

The Advising Center advances and supports campus-wide advising. Advising Center activities include participating in the student led Humboldt Orientation Program (HOP), offering advising workshops for faculty advisors and department coordinators, attending department meetings, visiting classes, and coordinating with residence hall staff to offer schedule-building sessions. The Advising Center Web Site has several useful resources posted, including the Advisor Handbook, the Catalog, the Class Schedule, the Information about Withdrawing and Repeating Courses (the EO1037 Fact Sheet).

Associated Students

University Center, 826-4221, hsuas@humboldt.edu

The Associated Students of Humboldt State University is the official voice through which the students may express their opinions, this representation may include but is not limited to: the university administration, the local community, and the State of California. AS has three primary purposes: to allocate student fee dollars to 23 student run programs, to educate students on campus, local, and state current affairs that have significant impacts on students, and to advocate the student perspective to the appropriate parties.

Business Services

Student and Business Services 345, 826-3521

Business Services works as a team to process payroll checks, process expense reimbursements, track and report financial information, coordinate all campus audits, process financial aid awards to students, receipt cash, collect on past due accounts, issue purchase orders and contracts, manage the university risk, manage hazardous waste disposal, administer the human resources function, and manage the university budget/ budget planning. In addition, the team provides the processing function for the Advancement Foundation and the Sponsored Programs Foundation. Business Services is comprised on the following functions: Contracts, Procurement, and Risk Management; Financial Services; and Payroll

Budget Office, University

Student and Business Services 305, 826-3316

The University Budget Office plans, analyzes, and administers the campus budget. The campus "Budget Book" is linked off this site.

Calendars

This web-site posts all campus-related calendars.

Career Center

Nelson Hall West 130, 826-3341, career@humboldt.edu

Career Center Hours: M-F 9am to 4pm – Office and lab hours
Walk-In Resume Hours: M-Thurs 11am to 1pm – Quick 15 min sessions
Appointment Hours: M-F 8am to 5pm

Campus Information

This web-site posts campus information and statistics compiled by the Office of the Registrar.

Compliance

Siemens Hall 211, 826-3626, hsuhr@humboldt.edu

The office, housed within Human Resources, is responsible for developing and implementing policies and procedures associated with state and federal affirmative action, Americans with Disabilities Act, and discrimination and sexual harassment issues. It also monitors recruitment, retention, and promotion of diversity groups; investigates and resolves discrimination complaints; The Web site includes relevant university, state, and federal laws and policies; complaint procedures, and various other resources.

Counseling and Psychological Services

Student Health Center 2nd Floor, 826-3236, hsucaps@humboldt.edu

Provides services to students including group and individual therapy, personal growth workshops, pamphlets and video tapes, assessment, and much more. C&PS is an invaluable resource to a department chair (or any faculty member) dealing with a distraught or difficult student.

Degree Audit Report for Students (DARS)

The **Degree Audit Report for Students (DARS)** is a comprehensive academic audit that matches a student's academic history with his/her degree requirements. DARS reports are available for undergraduates who entered HSU in fall 2003 or later. Some of these students have partial audits that monitors all-university requirement (units, GE, DCG, etc.) but does not encompass major requirements.

Department Chairs

The chairs of the University's academic departments meet with the Provost on a monthly basis. These meetings provide an opportunity for the Provost to consult with departments on policies and practices. The meetings usually are on the last Thursday of the month in Goodwin Forum (NHE 102).

Diversity and Inclusion, Office of

Siemens Hall 209, 826-4502

The Office of Diversity and Inclusion is charged with developing policies for our campus that seek to institutionalize diversity as a core part of the HSU educational process, and to overcome the historical and social inequities that continue to challenge students, faculty and staff from underrepresented groups.

Employee Assistance Program

The Employee Assistance Program is available to all employees and their families. The service provides assistance with personal problems which affect job performance, including those of substance abuse.

Enrollment Services

University staff may access HSU student information in a variety of ways. This site provides a listing of useful links and resources.

Environmental Health and Safety

Student and Business Services 409, 826-5711

The Environmental Health and Safety (EHS) office works with the staff and faculty of Humboldt State University to provide a safe and healthful workplace. EHS develops and implements various programs in order to minimize the risk of occupationally related injury or illness. This is accomplished through integrated steps of hazard identification, evaluation, and control, employee training and incident/accident investigation. In addition, EHS is a resource for information and technical guidance on occupational safety and environmental health information, work practices, regulations, etc.

Facilities Management

Plant Operations, 826-3646, workcontrol@humboldt.edu

Facilities Management is responsible for meeting the daily operational needs of the university's buildings, grounds and utilities. It is organized into six areas of service. The Facilities Management team keeps the campus grounds beautiful, recycles all that it can, provides safe buses and cars for official use, issue keys to buildings, classrooms and offices, distributes mail, moves furniture and maintains an inventory of HSU property. In addition, Facilities Management works closely with Construction Services to provide support for campus projects, new construction and remodeling of facilities and grounds.

Aside from the visibility of services provided by custodial, grounds and trades staff, the major point of contact for the campus community is the Work Control Center. The Work Control Center coordinates scheduling and completion of campus maintenance and construction projects, both ongoing and customer-generated.

Work done by Physical Plant that is not classified as maintenance (such as space alteration, installation of furniture and equipment, or repairs) is billed back to the unit requesting the work. Review their Web site at http://www.humboldt.edu/facilitymgmt/index.html

Facilities Management is located at the corner of 14th and B streets at the south end of campus.

Faculty Center -- HELP Page

Provides several tutorials for faculty, including: Removing advising holds, viewing compensation history, entering final grades, running a DARS report, working with academic advising, viewing weekly class schedule, searching for a class, view/printing class rosters, accessing permission numbers.

Graduate Studies, Office for

Siemens Hall 217A, 826-3949

The Office for Graduate Studies actively promotes graduate education. Our office provides assistance to graduate students, faculty and staff, from the beginning of the application process to the culminating experience (graduation).

Human Resources

Siemens Hall 211, 826-3626, hsuhr@humboldt.edu

Responsible for benefits and employee services, compensation and payroll, employment and classification, training and development, employees' disability programs, and worker's compensation.

Information Technology Services (ITS) - Technology Resource Guides for Faculty

Van Matre Hall 201, 826-3815

Several useful technology resources guides for faculty are available on the ITS site.

Integrated Curriculum Committee (ICC)

The ICC is charged with the careful consideration and deliberation of all academic planning and curriculum matters. It is the expectation of the Academic Senate that ICC members work collaboratively and act in the best interest of the university-wide community and in consideration of the strategic plan of the HSU mission and strategic plan. Given this charge and expectation, the Academic Senate will accept most ICC recommendations without further deliberation. Still, any recommendation may be further deliberated by the full Academic Senate.

Institutional Research and Planning, Office of

The Office of Institutional Research and Planning provides key data measures and engages in high quality research, planning, and assessment that improves evidence-based decision-making, institutional effectiveness, and success for all students and the institution.

Marketing and Communications (MARCOM)

Building 88, 826-3321, marcom@humboldt.edu

MARCOM handles projects ranging from postcards to comprehensive marketing campaigns. The MARCOM team can guide you from the initial brainstorming to the print run or website launch. MARCOM prides itself on the creativity and professionalism brought to the process. MARCOM produces student recruitment materials, the Humboldt Magazine, and the top level pages of the campus website.

Ombudsperson, Office of the

Under the general supervision of the President, the University Ombudsperson provides confidential, informal mediation and conflict resolution services, to the extent permitted by applicable law, to students, faculty and staff, with a primary focus on student concerns. The

Ombudsperson will only address issues that do not involve matters within the scope of bargaining.

Policies and Resources, Index of

Administrative and Executive Memoranda and other policies and resources related to academic affairs can be accessed at this site: http://www.humboldt.edu/aavp/policies-resources.

Provost Council

The Provost's Council assists the Provost and Vice President for Academic Affairs with policy issues and major areas that need broad consultation. This council usually meets every 1st and 3rd Wednesday during the academic year in the Corbett Conference Room (Siemens Hall #222).

Registrar's Office

Student and Business Services 1st Floor, 826-4101, records@humboldt.edu

Serves current students, faculty, alumni and community members concerning academic records, grades, transcripts and registration.

Retention and Inclusive Student Success (RISS)

Siemens Hall 209, 826-4584

The mission of Retention and Inclusive Student Success (RISS) is to create and sustain an inclusive learning environment, and to unite broad campus support for the academic excellence of all of our students. We do this by supporting equitable access to all programs on campus, providing academic and co-curricular student support programs dedicated to meeting the needs of our diverse student body. RISS is committed to creating a campus where all students have a voice, feel welcomed, and are able to pursue higher education in a way that respects the diversity of their culture, values, and life experience.

Room Reservations

Scheduling classrooms for instruction is generally handled by either the Department Administrative Support Staff or the Office of the Registrar Records Analyst.

You can view the scheduled rooms and availability of university-wide classroom space by looking up "Schedule 25" – the classroom reservation program. Schedule 25 can be accessed at: http://www.humboldt.edu/~oaa/roomgrid-index.shtml

Scheduling of meetings and special events are done by Room Reservations which is located in the University Center, 826-4414.

To schedule a room in the library call 826-4953.

Student Disability Resource Center (SDRC)

Learning Commons, Library 1st Floor, 826-4678, sdrc@humboldt.edu

SDRC provides qualified students with disabilities equal access to higher education through academic support services, technology and advocacy in order to promote their retention and graduation. SDRC is the campus office responsible for determining and providing appropriate academic accommodations for students with disabilities. Support services are available to students with certified visual limitations, hearing and communication impairments, learning disabilities, mobility, and other functional limitations. The SDRC Web site provides several useful guides to assist faculty in understanding their responsibility to provide academic accommodations for students with disabilities and how best to satisfy that responsibility.

Student Rights and Responsibilities

Student Rights & Responsibilities web site posts the full text of the university's Student Conduct Code. This very useful resource includes university policies on privacy, nondiscrimination, disciplinary policies and procedures, sexual assault, alcohol abuse, and smoking. The Office of Student Judicial Affairs is also responsible for acting on behalf of the Vice President of Student Affairs regarding all aspects of student discipline. The office receives reports of alleged student misconduct relative to Title 5, California Code of Regulations, and investigates complaints in order to determine whether university disciplinary action is to be pursued. Campus-related violations include both academic and non-academic misconduct.

University Organization Chart

University Police Department (UPD))

Student and Business Services 1st Floor, 826-5555**,** hsupd@humboldt.edu

UPD is charged with safeguarding the academic process and the campus community through proactive professional law enforcement and service delivery. Services provided include prevention and investigation of crimes, escort service, fingerprinting, parking and traffic enforcement, emergency preparedness response, and much else. UPD is located in the Student Services Building. Check their Web site for further information and useful publications.

APPENDIX II: GLOSSARY OF UNIVERSITY TERMS AND ACRONYMS

Additional employment: Employment compensated by the CSU, including auxiliaries, that is in addition to the primary employment of the faculty member. Additional employment must be of substantially different nature than primary employment, and is limited to a 25% overage (overload) of a full-time position.

Adjunct: at HSU, a volunteer who may teach or conduct research to the benefit of the university. Some universities use "adjunct" to refer to faculty members not on a tenure line, but that is not the CSU usage. (See "lecturer" below.)

APDB: Academic Planning Data Base Reports (also known as FAD – Faculty Activity by Department) are workload reports upon which the Chancellor's Office calculates and assigns faculty positions and new facilities.

ASE: Academic Student Employee. There are three classifications of ASEs: Teaching Associates (TAs), Graduate Assistants (GAs), and Instructional Student Assistants (ISAs). The ASE classification standards can be found on the APS web site. In 2005, the ASEs were organized by the United Auto Workers, forming Unit 11 in the CSU.

Assigned time: An individual faculty workload assignment is typically 12 units (tenure-track) or 15 units (lecturer). Any workload that is not direct instruction must be accounted for by assigned time. A 1976 document known as EP&R 76-36 set out the categories and codes for assigned time. These codes are defined in the CSU APDB Data Element Dictionary. HSU guidelines for usage of assigned time codes are located on the APS web site.

ATI: Accessible Technology Initiative. The implementation of an Executive Order requiring that all information technology resources and services be fully accessible to all students, faculty, staff, and the public. The ATI covers Web sites, instructional materials, and procurement of goods and services.

Careful Consideration: Procedure for considering incumbent lecturer qualifications prior to assigning or denying work. Careful consideration is based on merit-based standards, in order to objectively review candidates following the procedures for evaluation and decision-making set forth in Article 15 of the CBA. Final appointments are made based on an evaluation of academic criteria, student evaluations, and prior performance.

CBA: Collective bargaining agreement. In 1981, the Higher Education Employer-Employee Relations Act (HEERA) authorized employees of the CSU to select a bargaining representative and negotiate a contract. There are currently 12 units, represented by nine different unions. Generally, when faculty refer to the CBA, they are referring to the Unit 3 (faculty) contract.

Census: The date used each semester to calculate official FTES and FTEF (see below).

CFA: California Faculty Association. CFA is the union representing the faculty unit, including tenure track faculty, temporary faculty, librarians, counselors, and coaches.

CSU: The California State University. Formed in 1961 under the Donahoe Act, the CSU is one of the three tiers of the state public higher education system (along with the University of California and the community college system). With 23 separate institutions and a central office of the Chancellor, the CSU is the largest public university system in the country. Some consider the CSU as one university with 23 campuses; others, especially at HSU, consider it 23 universities under the umbrella of a central office.

Entitlement: A faculty unit employee who receives an appointment may be entitled to an appointment for the same number of units taught in the prior year. Article 12 of the CBA establishes several levels of entitlement.

Exempt and non-exempt: Payroll categories that describe whether an employee works on an hourly basis, and is thus eligible for overtime, or on the basis of an assignment, and is thus "exempt" from overtime rules. Faculty, Administrators, Teaching Associates, and some Graduate Assistants are exempt employees. Most staff, some Graduate Assistants, and all Student Assistants are non-exempt.

Faculty Center: An interactive tool that allows HSU faculty to review their class rosters, send notifications to students, view lists of advisees, assign grades, and view their compensation history.

Faculty Handbook: The HSU Faculty Handbook contains a variety of information pertaining to faculty on campus, including faculty membership, committees, policies and procedures, areas of responsibility, and evaluation (see RTP and Range Elevation below).

FAD: Faculty Assignment by Department report. See APDB (above), the FAD report is used to calculate faculty workload.

FERP: Faculty Early Retirement Program. This program allows tenured faculty to work up to 50% of their pre-retirement time base after retirement for a maximum of five years. Faculty members in FERP are considered to be full tenured faculty during the semester(s) they are employed.

Five-day filing notice: The Unit 3 CBA requires that faculty be given five days notice before any document is placed in their Personnel Action File (see PAF below).

Fourteen-day filing notice: The Unit 11 CBA requires that ASEs be given fourteen days notice before any document is placed in their Personnel File.

FTEF: Full time equivalent faculty. A full-time position is considered to be 12 weighted teaching units (See WTU below) for tenure-track, and 15 for lecturers. Funding and many other calculations are based on full-time equivalency, not head count.

FTES: Full time equivalent student. A full-time student is considered to be taking 15 units if undergraduate and 12 units if graduate. As above, funding calculations are based upon full-time equivalency.

FTF: FERP Transaction Form. FERP faculty are notified of their instructional assignments each term via a FTF. This document also serves as the Payroll document for the FERP appointment each term. FTFs are created through the Temporary Faculty module in PeopleSoft.

FTSR: Full time salary rate. This is the monthly rate a faculty member would be paid if they were appointed to a full time position. All salary calculations are done on the basis of FTSR. If an appointment is less than full time, the actual salary paid is a percentage of the FTSR.

Grant match: University funds or in-kind services sometimes required by granting agencies to match grant funding.

H-1B: The immigration status that permits a foreign national to work in the United States while he or she is pursuing permanent residency.

Incumbent Lecturer: When offering work at the beginning of an academic year, an incumbent lecturer is any lecturer who had a paid appointment during the prior academic year (either one or both semesters). When offering work during the academic year, (e.g., for spring semester) incumbent lecturers also include those who had a paid appointment during the fall semester.

IRA: Instructionally-Related Activity Funds. Student fee money, part of which comes back to Academic Affairs to support hands-on instructional programs.

J-1 Exchange Visitor Program: Federal program that allows international scholars to participate in exchange programs in the United States and then return home to share their experiences.

Layoff: A formal process requested of the CSU by the university President that requires a set of procedural steps including consultation with unions. Layoff would only occur when a lack of work or budget or a programmatic change necessitates the non-retention of faculty with permanent or unconditional appointments. Layoff procedures are strictly governed by the CBA, and are rarely evoked. The non-reappointment of conditional, part-time temporary faculty or staff is not a layoff.

Lecturer: Faculty members who are not on the tenure track. They may be full-time or part-time, and may have multi-year contractual entitlements. Formally (CBA language) referred to as "temporary faculty," the nomenclature "lecturer" is currently preferred and more accurate.

LTF: Lecturer Transaction Form. Lecturers are notified of their instructional assignments each term via a LTF. This document also serves as the Payroll document for the lecturer's appointment each term. LTFs are created through the Temporary Faculty module in PeopleSoft.

LWOP: Leave Without Pay. Leaves may be personal or professional, full-time or part-time, and available to both tenure-track faculty and lecturers. Depending on the circumstances, they may or may not carry service credit toward probation, sabbatical and difference-in-pay eligibility, and seniority. Chairs and Deans may approve or not approve leave requests, but the final decision for tenure-line faculty is delegated by the President to the Provost; the AVP for Faculty Affairs approves lecturer leave requests.

Order of Work: Order in which work can be assigned after work has been assigned to tenured and probationary faculty (including FERP and PRTB), plus administrators, Teaching Associates and other student employees, and Volunteers. See Article 12.29 of the CBA for more information on assigning work.

Outside employment: Work that is not compensated by the CSU or its auxiliaries. Outside employment must not interfere with the faculty member's performance of his or her normal work assignments.

PAF & WPAF: Personnel Action File and Working Personnel Action File. The PAF is the one official file for members of Unit 3. PAFs include all documents relating to appointments, salary, professional activities, and evaluation. They may also include disciplinary letters. PAFs are housed in the Office of the College Dean. The WPAF is an extension of the PAF, consisting of a file put together by the candidate for the purpose of conducting a performance review.

PDS: The Personnel Data Sheet is an element in the Working Personnel Action File (see above).

Periodic evaluation: These are evaluations that do not lead to a personnel action (such as reappointment or tenure). Periodic evaluations are used for lecturers, probationary faculty in the first year of a two-year contract and tenured faculty (also called post-tenure review).

Performance review: These are evaluations that do lead to a personnel action for tenure-line faculty: reappointment, tenure, and/or promotion.

Probationary faculty: Sometimes called tenure-track faculty, they are faculty hired onto a tenure-line but not yet tenured. After a maximum of six years, they must request tenure and, after a final performance review, either be awarded tenure or reappointed to a terminal year. Once tenured, a faculty member has the strongest rights of continuation of virtually any job classification.

PRTB: Pre-retirement Reduction in Time Base. This is a program that allows tenured faculty to reduce their time base evenly across the academic year while still paying full-time into CalPERS. Faculty are limited to five years of PRTB.

Range Elevation: A process by which lecturers who meet eligibility requirements may apply for elevation to the next higher range within the Lecturer classification. Eligible lecturers are notified by APS annually. The Range Elevation policies are set forth in Appendix K of the HSU Faculty Handbook.

Rehired Annuitant: An individual who has retired from the CSU and is receiving a pension through CalPERS but has been rehired by the CSU. This post-retirement employment is subject to strict CalPERS limitations on number of hours worked.

Reimbursed Time: Faculty or graduate assistant time that is funded from grants or contracts. It differs from assigned time (see above) by being externally funded, not state funded.

RSCA: Research, Scholarship, and Creative Activity. Originally a term for a source of funding from the Chancellor's Office; recognized as a term to recognize the diverse professional activities of faculty.

RTP: Reappointment, tenure, and promotion; the core evaluative process of the university for faculty. Faculty Personnel Policies and Procedures for Retention, Tenure, and Promotion are laid out in Appendix J of the HSU Faculty Handbook.

Smart classroom: Classrooms equipped with a range of multimedia and computer technologies.

Student Center: Student Center allows HSU students to access a variety of enrollment and admissions resources online. Among many functions, Student Center allows students to pay their registration fees online, register for classes, and download unofficial transcripts.

Substitute Faculty: Faculty substitutes whose assignments are limited to temporary replacement of up to 20 days to cover faculty absences of short duration.

Three-year contract: After six consecutive years of employment, a lecturer is eligible to be reappointed on a three-year contract. This gives them the strongest entitlements of any non-tenure-track faculty. Note that a lecturer hired initially on a multi-year contract, whether for three years or any other length of time, does not have the same "three-year" contract rights.

UAW: Often abbreviated as UAW (for United Auto Workers), the California Alliance of Academic Student Employees/International Union, United Automobile, Aerospace and Agricultural Implement Workers of America is the union representing academic student employees, including Teaching Associates, Graduate Assistants, and Instructional Student Assistants. In 2005, the ASEs were organized by the UAW, forming Unit 11 in the CSU.

Visiting Faculty: Three positions allocated annually to HSU for appointing full-time temporary faculty for up to one academic year. Visiting Faculty appointments may be made only after all 3-year lecturer entitlements have been met, and may not result in the displacement or time base reduction of any incumbent 3-year lecturers.

APPENDIX III: CAREFUL CONSIDERATION

CONTRACTUAL REQUIREMENTS

1. Give employee a copy of all information placed in his/her personnel file and an opportunity to respond.
2. Conduct periodic evaluation (annually)
3. Provision 12.7, Sentence 1 – Department to maintain list of temporary employees who have been evaluated by the department
4. Provision 12.7, Sentence 2 -
   - Employee to apply for position in department or applicant pool
   - Employee's previous period evaluations and his/her application to be considered

GUIDELINES DEVELOPED THROUGH RELEVANT ARBITRATION AWARDS

1. General Observations
   a. Term "Careful Consideration" – has a meaning
      "…the term 'careful consideration' must mean more than simply thinking about someone and deciding not to offer that person a position. It must mean the university has to have some kind of a reason for what it did or 12.7 would be meaningless."
   b. How would reasonable person define term?
      - Procedures for evaluation and decision-making set forth in Article 15 would be followed
      - Final appointments made based on legitimate academic criteria, such as professional quality of course material, attainment of Ph.D. and strong student evaluations
      - Consider all aspects of grievant's performance and note plusses and minuses
   c. Careful consideration based on objective, merit-based standards, in order to objectively rank candidates
   d. Ranking candidates is useful, even if only rank top candidates
   e. A position description tailored to specific candidates' qualifications is an indication not giving careful consideration to other candidates
2. Careful Consideration Procedure
   a. Must have procedure that complies with contract
   b. Comply with campus or department policies and procedures
   c. Procedure should be in writing
   d. Don't change procedure mid-stream
   e. Faculty need to know criteria on which will be evaluated for appointment
   f. Be able to demonstrate faculty member should have known procedure (published procedure, he'd been advised or had followed it previously)
   g. If you follow careful consideration procedure and can demonstrate objectively considered candidates, arbitrator will not substitute his opinion
   h. Do NOT assume candidate does not have to be considered for performance or financial reasons
      - Where top candidate's name not submitted for final decision because salary more than budgeted amount, candidate did not receive 'careful consideration.'

        - If candidate has performance/discipline problems, cannot skip careful consideration process.

3. Discipline/Performance Problems
    a. Separate Issue from Careful Consideration
        - After "carefully considering" may not select due to discipline/performance problems (helps if documented)
        - If want to end appointment early due to performance/discipline issues, address through discipline with due process rights
    b. When relieved coach of duties and advised him would not reappoint him at end of current employment, without disciplining him, is failure to give careful consideration
        - Arbitrator ruled employee entitled to careful consideration and opportunity to address accusations against him
    c. Arbitrator stated if faculty member has performance problem, try to help him improve his performance, not just "write him off" by not giving him careful consideration
    d. Document performance issues with copy to grievant and personnel file
4. Performance Evaluations
    a. Must be completed
    b. Must be considered
    c. Evaluation based on class visitation, course materials, student evaluations and grading practices is evidence of objective performance evaluation
    d. Evaluative judgment must be reduced to writing and placed in personnel file, administrative evaluations must be conducted
    e. Be sure to review most recent evaluations
5. Personnel Action File
    a. **Review** the Personnel Action File
    b. Each person involved in making the appointment decision should review the Personnel Action File
    c. Helpful if Personnel Action Files are available at committee meetings
6. Student Evaluations
    a. Do not rely **exclusively** on Anonymous Student Evaluations -
    "… in the Arbitrator's opinion, these Article 15 provisions recognize that student evaluations can provide useful insights into a teacher's performance while article 11.3 indicates that major decisions affecting a faculty member's status should not be based solely upon unauthorized documents." (1986)
    b. Reviewing student evaluations over a period of time is carefully considering (1986)
    c. Student evaluations should be one of many factors reviewed (1989)
    d. Do not discuss student remarks that aren't part of grievant's personnel file during committee evaluation process (1990)