



SAN DIEGO STATE
UNIVERSITY

CHAIRS
HANDBOOK
2009

ACKNOWLEDGMENTS

This handbook was first written and compiled by the Chairs Task Force in 2004:

Ed Aguado, Department of Geography
George Belch, Department of Marketing
Susan Cayleff, Department of Women's Studies
Chris Glembotski, Department of Biology
Fred Hornbeck, Department of Psychology
Nick Reid, School of Theatre, Television, and Film
Lal Tummala, Department of Electrical Engineering
Patricia Wahl, School of Nursing
Bonnie Zimmerman, Office of Faculty Affairs

We thank the many people who took time to review and/or write sections of this handbook: Geoffrey Chase, Sandra Cook, Dan Cornthwaite, Sydney Covey, Robin Fishbaugh, Cheryl Fisher, Jim Herrick, Alanna Hewins, Alex Hidalgo, Kim Hill, Charleen Lalley, Julie Logan, Ken Perry, Selma Reed, Tom Scott, Susan Shuckett, John Skaggs, Frea Sladek, Jane Smith, Jill Tavolazzi, Dawn R. Wood, and Penny Wright. In addition, we thank Mary Elizabeth Stivers at CSU, San Marcos for sharing the model for the Duties of the Department Chair.

We extend a special thanks to Diane Borden for her editing skills and to David Oehl for putting the text on line originally. In addition, thanks are due to Martin Chambers, Bob Cademy, Christine Delgado, and Edith Benkov, who offered their suggestions for improving upon the 2004 Handbook.

Table of Contents

CHAPTER I: ROLE AND RESPONSIBILITY OF CHAIRS	5
Position Description	6
Duties of the Department Chair	6
CHAPTER II: LEADERSHIP	10
CHAPTER III: MANAGEMENT	11
Policies and Procedures	11
Class Scheduling	11
Workload Reports	12
Budgeting	13
Curriculum (Undergraduate and Graduate)	14
Assessment	15
Space and Equipment	15
Professional Travel and Absences from Campus	16
Academic Plans and Reviews	17
Working with the Dean	18
Working with Colleagues	18
Working with the Administrative Coordinator	19
Effective Meetings and Communication	19
Conflict Management	20
CHAPTER IV: FACULTY	23
Recruitment of Tenure Track Faculty	23
New Tenure Track Faculty Appointment Procedures	26
Immigration	26
Recruitment and Appointment of Lecturers	27
Mentoring	29
Personnel Files	30
Reappointment, Tenure, and Promotion Procedures	31
Periodic Evaluations	32
Separation	34
Dealing with Problems	34
CHAPTER V: COLLECTIVE BARGAINING AGREEMENTS	36
Grievances	36
Leaves	37
Faculty Early Retirement Program (FERP)	39
Salary	39
Layoff	40
Unit 11 (Academic Student Employees)	40
CHAPTER VI: STAFF	44
Recruitment and Retention	44
Staff Performance Evaluations	45
Progressive Discipline	46

Table of Contents

CHAPTER VII: STUDENTS	47
Undergraduate Advising	47
Graduate Advising	48
Rights and Responsibilities	49
Complaints	50
Student Organizations	52
Building Alumni Networks	54
CHAPTER VIII: COMMUNITY AND DEVELOPMENT	56
Fostering a Culture of Philanthropy	56
University Relations and Development	56
The Campanile Foundation	56
Fundraising Priorities	57
Prospect Management	57
Prospect Research	57
Campaign Communications and Donor Relations	58
The President's Leadership Fund	58
Visions and Best Practices for the Future	59
External Relations	62
College of Extended Studies	63
CHAPTER IX: RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY	66
Role Modeling	66
Vision	66
Administration	67
Policies	68
SDSU Research Foundation	68
CHAPTER X: INTERNATIONAL PROGRAMS	70
Exchange Visitor Program	70
Office of International Programs	70
Fulbright Program	71
International Student Center	71
Appendix I: Campus Resources	73
Appendix II: Glossary	78
Appendix III: Careful Consideration	83
Appendix IV: Responsibilities of the Custodian of the Personnel Action File	86
Appendix V: Voting Rights And Committee Service: Frequently Asked Questions	89
Appendix VI: Academic Year Calendar	96

CHAPTER I

ROLE AND RESPONSIBILITY OF CHAIRS*

The chair or head of a department... serves as the chief representative of the department within an institution. ... 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.

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 SDSU 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. SDSU 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 SDSU and CSU documents and can, when interpreted in the context of SDSU's Shared Vision, provide considerable direction to SDSU chairs. (See <http://www.sdsu.edu/vision/>.)

*We recognize that SDSU has both academic departments headed by chairs and academic schools headed by directors. In the interest of simplicity, and to distinguish directors of schools from directors of centers and programs, we will use “department chair” throughout to designate all heads of academic units that “initiate, operate, and administer academic programs (e.g., instruction, research, community services, and creative activities)” (University Senate Policy File).

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.

Duties of the Department Chair

The academic department chair in conjunction with the department faculty shall discharge the following duties in accordance with established policies and procedures of the department, college, university, and the CSU system. It is the responsibility of the department chair to keep the faculty informed of departmental business.

A. Curriculum and Instruction

1. Implement periodic reviews of the department's curricular offerings and its contribution to the General Education program.
2. Lead the department in carrying out required external reviews of curricula and assessment of student learning outcomes.
3. Work with faculty to create and maintain curricula that meet accrediting and licensing standards, where appropriate.
4. In consultation with the faculty and dean, develop course schedules that reflect the department's range of course offerings and other related activities, the needs of students, faculty professional development needs, and the mission of the department, college, and university.
5. Supervise the operation of department-related activities, such as clinics and laboratories.
6. Initiate and facilitate long-range curricular and strategic planning.
7. Review and maintain articulation agreements with community colleges and universities within the CSU system.

B. Faculty Affairs and Professional Development

1. Foster high-quality learning and teaching in the department
2. Provide guidance to faculty, as needed, regarding the teaching, research, and service components of their workload.
3. Assist probationary faculty in understanding the evaluation process and criteria for retention, promotion, and tenure and in presenting accurate and effective Working Personnel Action Files (WPAFs).
4. In conjunction with the faculty, review and maintain a current pool of potential candidates for temporary faculty positions.
5. Evaluate temporary faculty according to college and university policies and provide feedback to these individuals.
6. Exercise leadership in recruiting tenure-track faculty. Specifically, insure that requests for positions are appropriately submitted, search and peer review committees elected, candidates interviewed, and appointments recommended, all in accordance with university policies and procedures.
7. Keep faculty members informed of department, college, and institutional plans, activities, and expectations.
8. Encourage and support faculty professional development including faculty applications for grants and sponsored research.
9. Mediate conflicts and attempt to resolve problems among faculty, students, and staff.
10. Foster collaborative and productive relationships with and between faculty and departments.
11. Write a separate letter of recommendation for faculty members undergoing retention, tenure, or promotion cycles.

C. Department Governance

1. Work with faculty to develop and implement a strategic plan designed to meet the department's mission and goals. Prepare the annual Academic Plan for the Provost.
2. Coordinate faculty involvement in non-elective department responsibilities.
3. Preside over department meetings.
4. In consultation with the faculty, establish department committees.
5. Represent the department to the dean and campus community.

D. Budgeting and Resources

1. Manage department activities to meet FTES targets.
2. Coordinate the development of department budgetary plans and other resource requests and ensure that proper records are maintained on these matters.
3. Administer the department budget.
4. Work with appropriate university administrators in planning for use of new facilities.

5. Oversee the ordering of department equipment and supplies.
6. Develop and implement appropriate procedures for the use, maintenance, and repair of equipment.
7. Allocate faculty and graduate student offices.

E. Students

1. Promote department activities (competitions, awards, scholarships, speakers, professional organizations, clubs) to help recruit and retain potential majors and minors.
2. Encourage student participation in exchange programs.
3. Work with all parties who advise students. Facilitate resolution of administrative difficulties students may encounter.
4. Consider and respond to student comments and suggestions about courses, instructors, and programs.
5. Respond to student requests for waiver of department regulations, independent study proposals, internships, and related special student concerns.
6. Attempt to resolve complaints, differences, or grievances between students and faculty.

F. Staff Personnel

1. Oversee the appointment of all staff personnel, including student assistants working for the department.
2. Supervise clerical and technical staff assigned to the department.
3. Conduct staff performance reviews.
4. Encourage and support staff training and development.
5. Foster collaborative and productive relationships among faculty, staff, and students.

G. External Relations

1. Promote academic discipline-based contact with appropriate off-campus groups, including community college faculty, high school teachers, community organizations, professional organizations, private companies, etc.
2. Provide leadership in developing activities that link to the department's alumni.
3. Improve and maintain the department's image and reputation outside the university.
4. Work with the dean's office and University Relations and Development to promote the department outside the university community.
5. Seek philanthropic support.

H. Professional Development of the Department Chair

1. Read materials and attend workshops, seminars, training sessions, etc. on topics pertinent to the roles and responsibilities of the department chair.
2. Identify ways to improve communication skill, such as conflict resolution, conflict management, dealing with difficult situations.
3. Maintain, to the best of one's ability, teaching and research activities.

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

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

Gunsalus, C.K., *The College Administrator's Survival Guide* (Cambridge, MA: Harvard University Press, 2006)

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

CHAPTER III

MANAGEMENT

Policies and Procedures

All departments should have written policies and procedures. Although we have a University Policy File, 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, appointment of lecturers, tenure-track searches, and review of research leave applications. 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 affected 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 Faculty Affairs. 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, departmental FTES targets, 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, weekends if appropriate), and conform to standard time modules for undergraduate classes (your administrative coordinator should have a chart of these modules provided by Enrollment Services). Most faculty members prefer to concentrate their teaching in as few days as possible (TTH schedules are very popular with faculty members and students alike), 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.

Each college allocates specific classrooms to the departments. Often, your initial allocation will not be adequate to the requirements of your schedule. In that case, you can access the [Ad Astra](#) program to identify available rooms. The scheduling of large lecture halls is done centrally by [Enrollment Services](#). Direct questions regarding the scheduling of classrooms for purposes other than regular instruction to the facilities coordinator of your college. Departments and colleges have scheduling rights and responsibilities for their allocated rooms during the initial phase of building a specific term (three weeks for departments followed by six weeks for the colleges). After that, the rooms revert to Enrollment Services, which will work with you during the remaining phases of schedule-building. Between census and the onset of final examinations, colleges and departments regain scheduling rights to their rooms for meetings, colloquia, thesis defenses, and the like.

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. Enrollment Services sends out the Academic Processes Calendar to all colleges and departments in early June, but 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.sdsu.edu/schedule.html>.

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, Supervision Reconciliation, 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 including lecturers.

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 send the form on to the APDB office ([Analytic Studies and Institutional Research](#)).

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. After they have received a workload in excess of 15 WTUs for several semesters, they should be given assigned time in recognition of the additional time worked without compensation.

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 [Campanile Foundation](#) budget (donations to your department), the [Research Foundation](#) budget (monies earned by departmental research activities), and the [Extended Studies](#) 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 [Research 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 Research 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 the college's grant overhead 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. Some departments 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 Curriculum Services unit of [Enrollment Services](#) 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 SDSU [Curriculum Guide](#), which is available online, to assist faculty in preparing proposals for inclusion in the [General Catalog](#), the [Imperial Valley Campus Bulletin](#), and the [Graduate Bulletin](#). Also included in the Curriculum Guide are instructions on how to submit proposals for

new certificate programs, for a degree to be placed on the Academic Master Plan, and for topics courses and General Studies courses to be included in the SDSU [Class Schedule](#) and [Extended Studies Catalog](#). Department chairs may contact Enrollment Services for assistance in preparing curricular proposals. You also may direct questions about actions taken by the Undergraduate Curriculum Committee, the General Education Committee, the Graduate Council Curriculum Committee, and the Undergraduate and Graduate Topics Committee to Enrollment Services.

New faculty may not have had much curriculum training or teaching experience in their doctoral 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. Classroom technology such as [Blackboard](#) may be included in their orientation. Much of this training will be provided in New Faculty 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. At San Diego State University, every department is responsible for submitting an assessment plan to the Committee on Student Learning Outcomes annually. Assessment plans should be submitted to the Student Learning Outcomes Committee in October or April of each year (if you are not sure when your department assessment plan is due, check with Chris Frost, Associate Dean of Undergraduate Studies and Chair of the Student Learning Outcomes Committee).

Information about what needs to be included in a department assessment plan, and other issues related to student learning outcomes may be found at http://dus.sdsu.edu/assessment/short_version_rating_form.pdf. Additional information is also available at the [Center for Teaching and Learning](#) web site.

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 recruiting (i.e., for filling academic positions), 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 online at <http://bfa.sdsu.edu/ap/travelmanual/travelmanual.htm>.

T2 Forms.

All professional travel requires the submission of a T2 form prior to departure, at least 10 days in advance for in-state travel and 15 days in advance for out-of state travel, even if reimbursement is not requested. The traveler and the department chair must sign all T2s, which are then forwarded to the dean’s office for final approval. The dean’s office then submits the T2 to Accounts Payable. Travelers do not need to submit T2 forms for personal vacations or other non-business activity, but faculty members must submit the forms when they travel on SDSU-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 30 days after completing their travel an itemized Travel Expense Claim ([Std Form 262](#)), 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.

Travel Advances

At the employee's request, Accounts Payable may issue a travel advance before travel is undertaken. This request should be indicated on the T2 form and submitted to Accounts Payable between 7 and 30 days before travel commences. Travel advances are not to exceed 80% 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

Rental cars are not available on the SDSU campus and the university no longer maintains a pool of vehicles for departmental use. Employees must make car reservations with off-campus contract rental agencies (contact numbers are available through the departmental travel coordinator). 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. Employees will need to furnish the following items when picking up rental vehicles: University ID, driver's license, and a copy of the T2 form.

Academic Plans and Reviews

Each year, at the request of the Provost, departments prepare a strategic academic plan, which is used as a basis for resource allocations and future planning. Academic plans explain the progress the department has made toward meeting its overall mission, goals, and objectives, including the impact on curriculum and program of student learning assessment. The academic plan also shows what curricular and hiring changes are required to support the department's goals. The plans usually are updated every year, submitted to the dean of the college, and incorporated into the college's strategic plan before being sent to the Provost. During periods of severe budget shortfalls, the Provost has suspended the requirement to submit full academic plans.

To maintain and strengthen the quality of academic programs, university policy mandates that academic reviews be conducted every six years. The academic review describes the progress the department has made toward meeting the goals articulated in its academic plans over the preceding six years and projects future directions. The [Division of Undergraduate Studies](#) conducts reviews of departments with baccalaureate-only programs, and the [Graduate Division](#) conducts reviews of departments with graduate programs. The review office sends a letter to the department chair informing him or her that the department is scheduled to undergo its review and

includes specific instructions to guide the chair through the process. The review team comprises at least two members from outside the university and one member from the campus. The review office requests that the chair forward, through the college dean, a list of seven or eight distinguished individuals in the appropriate fields who are well-qualified to participate in the review; the list should include single-paragraph vitae as well as current phone numbers for each nominee. The chair should not notify the recommended individuals; that is the responsibility of the review office. The review office also requests that the chair forward a list of on-campus nominees from outside the college but in related departments. The review takes place over a two- or three-day period, and sample schedules are available.

The department submits a self-study report prior to the site visits of the review panel. The letter of notification to the chair includes guidelines for the self-study report, which consists of short essays, substantiated by data, on context, progress toward department goals and future plans, student learning outcomes, faculty achievements, and impediments to progress. The report also includes the academic plans for the previous six years and supplemental materials housed in the department that will be available to the visiting team. The academic review also must include a program-specific assessment of student learning outcomes. A representative of the [University Committee on Assessment](#) can assist the chair in planning specific assessment strategies.

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 Coordinator

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 coordinator, who often serves as the office manager, 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 the public. For the chair, the support of the administrative 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 supervisory oversight, the coordinator should be able to work toward those outcomes with minimum direction. She or he 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 coordinator should clearly establish an understanding of what work is to be delegated to the coordinator. Where there are associate directors or chairs, the distribution of authority in relation to the staff needs to be made clear so the coordinator and 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 secretary 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. Roberts 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 SDSU Policy File 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.*

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

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

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 and the high cost of living in San Diego, many people are drawn to the local area, and San Diego 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. The process begins when your department submits its annual academic plan to Academic Affairs (See Chapter III, Academic Plans and Reviews). They 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 the Provost has allocated faculty positions to each dean, your dean will request that you submit a Tenure Track Request Form (TTR) to the dean's office for approval. Once your dean approves your request to do a search, he or she will submit the form to the Provost for approval. Academic Affairs will return a copy of the TTR with a VPAA number, at which point you can prepare your job announcement and proceed with the search. You should then obtain a copy of the [Procedures for Faculty Recruitment and Hiring](#) on the [Office of Employee Relations and Compliance](#) (OERC) Web site. In collaboration with your administrative coordinator, refer to the document 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. OERC is available to provide assistance to you during your search process.

SDSU is located in one of the most diverse states with respect to race and ethnicity, and the community of San Diego is one of the most diverse in California. Thus, it is both

legally permissible and academically appropriate that we would seek to build a faculty reflective of and sensitive to the community 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.

In spring 2005, the Senate accepted a report from the Diversity, Equity, and Outreach Committee on African American Faculty Diversity at SDSU. Included were 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 African American scholars such as urban issues and multicultural 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 such as *Black Issues in Higher Education*, including specialized listserves such as Afroam-L;
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 our 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 Director of the Office of Employee Relations and Compliance at the beginning of the search process to learn about proactive practices;

11. Establish relationships with African American communities and organizations as well as Historically Black Colleges and 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 (including someone from outside the department if needed);
14. Elect a search committee chair who is committed to diversity and knowledgeable on the issues;
15. Be open to partner hires;
16. Have a retention plan for new faculty hires and share it with applicants during the campus visit;
17. Apprise candidates that diversity is one of the five priorities of SDSU's shared vision statement;
18. Ensure that the candidate's visit to campus results in meeting, sharing meals, and exchanging information with a diversity of persons reflective of the diversity on the SDSU campus and the San Diego community;
19. Ensure that departments are offering equitable salaries and perks to all new hires;
20. 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;
21. Apprise the Office of Employee Relations and Compliance when an individual is severing their service from SDSU in order for an exit interview to be conducted by the OERC, which is outside the individual's chain of authority.

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, often at a reduced price. Since San Diego can be one of your strong selling points, explore the range of options that exist. There are some very nice hotels in Mission Valley, although they are surrounded by an endless row of car dealerships and malls. You might want to consider putting them up in Old Town, near Seaport Village, or some other desirable location, especially if they are here without a car. 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 San Diego's highlights. Be prepared to include sites that resonate with a candidate's research area or personal background.

Another way to “sell” SDSU 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 Women’s Studies department. Members of the Africana Studies or Chicana and Chicano Studies departments might be available to meet with candidates of color who wish to learn about opportunities for collaboration and community-building. Gay or lesbian candidates will want to know something about the LGBT network on campus and in the community. Arranging for these kind 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

When you have ranked your candidates, you will need to file an Approval to Negotiate a Faculty Appointment Offer form, which can be downloaded from the [Academic Affairs](#) web page. The dean will sign and forward the form to the provost for approval. Once the Provost signs the form and returns it to the dean, negotiations with the selected candidate can proceed. You and your dean will need to confer prior to negotiations on matters including course load, salary, start-up, and moving allocations, as well as who will conduct the negotiations.

When negotiations have been completed, the dean’s office will submit an Academic Transaction Form and send the candidate a letter of offer. When this is signed and returned, you have completed your part of the hiring process.

Please note that your position may have been posted on the [Center for Human Resources](#) web site and also sent to the [CSU Careers](#) web site. Once it has been filled, send an email to Frankie Gutierrez at fgutierr@mail.sdsu.edu to remove it from the CHR and CSU sites.

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 March through July, but there will be no check (or benefits) in August, after which they will start up again in September. 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 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 [Office of Faculty Affairs](#). Inform your candidate that SDSU 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 SDSU, before they may work at SDSU. 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 printed ad (on-line ads are not sufficient) in a national professional journal. 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. Faculty Affairs can recommend an attorney who has handled other cases for SDSU 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.). The [Center for Human Resources](#) 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. 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. Your administrative coordinator will type up a contract and Academic Transaction Form (ATF). These should be attached to a copy of the applicant’s curriculum vita and submitted to your dean’s office. An initial appointment can be for one semester or, if the hiring commences in the fall, one year. After that, see the first bullet point below. About a week before

classes begin your new lecturer will have to report to Human Resources to sign in and get the necessary keys and an identification card.

Before the beginning of the fall and spring semesters, the university offers a New Lecturers Orientation, including presentations on university regulations, student services, and teaching and learning strategies. Please encourage your lecturers to attend, as they are often left out of the channels of communication and can be uninformed about the university's mission and expectations.

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 (including summer if the appointment is spring-summer only), 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 two consecutive semesters, either fall/spring or spring/summer. 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 Faculty Affairs.
- 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 SDSU or another CSU campus, 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 Academic Transaction form must also be sent to Academic Affairs. Your dean's office has electronic versions of sample letters to the lecturers to be attached to the Academic Transaction Form forwarded to Academic Affairs. They 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 SDSU. For this reason, a number of departments assign new assistant professors faculty mentors. The Colleges of Professional Studies and Fine Arts and of Health and Human Services have established college-wide policies on mentoring, and you may wish to bring this up in your college's council of chairs or executive committee. It is a good idea and you should give it serious consideration if your department does not already do this. 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 research agenda that meshes with department, college, and SDSU 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 [Office of Faculty Affairs](#) maintains PAFs for all tenured and probationary faculty members. The PAFs for all temporary faculty employees are housed in the department office, and the department chair 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 material

contained in the official file may be maintained in other offices for convenience, and other materials—such as grant applications or sabbatical proposals—are kept in the department, not Faculty Affairs. Since the transition to online evaluations, the server is designated as the official location of student evaluations. 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, warnings, or reprimands. The faculty member must be given notification five days prior to placing the materials. See the Faculty Affairs Web site for instructions on five-day filing notices, as well as a fuller discussion of Personnel Files. See also the [Collective Bargaining Agreement](#) and the SDSU Policy File.

Reappointment, Tenure, and Promotion Procedures

The university's policies on Reappointment, Tenure, and Promotion (RTP) were revised in 2008, and are included in the SDSU Policy File under Faculty in the following sections: Reappointment, Tenure, and Promotion: Procedures; and Reappointment, Tenure, and Promotion: Criteria. Helpful documents are available on the [Faculty Affairs](#) 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 validate the Personnel Data Summary (PDS) and one-of-a-kind file (1-K), which together constitute the Working Personnel Action File or WPAF. Validation is a process of checking the PDS and 1-K file to see that a complete and correct picture is being presented for review. This means that all required items have been submitted, items are included in the appropriate place, full information is provided, and—of great importance—everything that is included in the PDS and 1-K file can be substantiated through documentation. Items that are not required (such as more than five significant items in each category or letters of support/commendation not related to the five significant items) are to be removed. Either the chair or departmental peer review committee chair should sign the PDS to validate its completion, accuracy, and authenticity.

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 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, which includes the PDS (including the curriculum vitae), the 1-K file, and, on occasion,

the Personnel Action File. 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. The SDSU Policy File lists all the types of items that may be considered under teaching effectiveness. Student evaluations are the one required item, but they may be placed in the context of advising and mentoring, thesis work, pedagogical publications, curricular innovations, and so forth. At SDSU, professional growth is weighted equal or nearly equal to teaching. Again, the Policy File lists the categories of professional growth items, but evidence of externally refereed publication, performance, or exhibition is considered essential. Service requirements differ by department/school and college, but in general service expectations of probationary faculty are light. More service 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 five items 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, it is not uncommon for them to 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 or the first and second year of a three-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 or the first and second year of a three-year appointment receive a periodic evaluation because they are guaranteed by their contract reappointment to a second or third year. They receive a performance review only if they request tenure or promotion in the first or second year. The periodic evaluation is an “in-house” process intended primarily to mentor the

probationary faculty member and identify any potential problems at the earliest possible moment. Some departments have the faculty member put together a basic PDS to help them get used to university procedures. A peer review committee of the department and an appropriate administrator, who normally would be the chair, conduct periodic evaluations of probationary faculty members. Consideration of student evaluations is required, and the written record is filed in the PAF and included in subsequent one-of-a-kind files.

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 and appropriate administrator (the chair) conduct it. On occasion, the dean or associate dean may write 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 it is advisable to evaluate him or her 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.

In 2008, the Senate Committee on Faculty Affairs developed a form to use in periodic evaluations of lecturers. While not mandatory, it provides a simpler and more consistent format for evaluations. It can be found on the Faculty Affairs web site.

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 Center for Human Resources has developed a [web-based checkout process](#). The chair, as the manager/supervisor of all faculty and staff employed in the department, is ultimately responsible for the return of all departmental property by the departing employee. The clearance process begins by filing an online Resignation/Retirement Form which alerts other university departments (such as the Library, Key Issue, and TNS) of the impending separation. The Web site includes this form, as well as guidelines and a checklist 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 Employee Relations and Compliance](#), which oversees fitness for

work rules. Be aware, however, that faculty rarely are required to submit to fitness for work examinations. The Associate Vice President for [Faculty Affairs](#) 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 Associate Vice President 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 Associate Vice President 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

San Diego 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 Associate Vice President 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 Faculty Affairs at 594-6111 or via e-mail (bzimmerm@mail.sdsu.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 Associate Vice President for Faculty Affairs at SDSU). 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 University 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.

Maternity/paternity 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 10 days of sick leave. If a medical condition requires it, further sick leave may be granted. 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. That has the advantage of costing nothing and engaging the department in a collegial effort. But the chair should 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. On a related matter, the chair and other 12-month faculty employees accrue vacation days, which should be used when the chair or the faculty member is out of the office for recreational purposes.

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, 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 Associate Vice President 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 [Faculty Affairs](#) Web site) to the Associate Vice President 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 for a personal or professional leave of absence without pay. That form is also on the Faculty Affairs Web site, and is submitted for approval to the chair and the dean. 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 the SDSU Policy File (under Faculty: Leaves, Sabbatical). You should also review your college’s policy file to see if there are any special requirements. The CBA requires that a professional leave committee review all sabbatical proposals. The Policy File permits the chair to make an independent recommendation. The chair’s responsibilities also include forwarding all applications and rankings 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, prorated to the colleges. Even in times of hardship, the university must fulfill its contractual obligations. 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 the Policy File (under Faculty: Leaves, Difference-in-Pay) parallel those of sabbatical leaves, except that proposals are not ranked and there is no explicit reference to an independent recommendation by the chair. You should also review your college's policy file to see if there are any special requirements.

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. 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 Research 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. Use the GA/TA contract for those two classifications, and a template letter for ISAs (provided in the appendix). 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 immediate supervisor, 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 Associate Vice President 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 Faculty Affairs.

Nondiscrimination

ASE complaints of discrimination based in employment should be referred to the Office of Employee Relations and Compliance. If the complaint is one of whistleblowing or retaliation, refer the student employee to the Associate Vice President for Human Resources and Risk Management. In either case, if the discrimination is based on academics, the appropriate referral is to the Office of the Ombudsman or the Vice President for Student Affairs.

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 supervisor 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 supervisors as soon as possible, and supervisors 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 humanpower 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 Center for Human Resources Web site. 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 SDSU website for a minimum of fourteen (14) days. For highly specialized staff positions, additional time and use of additional recruitment sources may be required.

Following the application filing deadline, HR will screen the applications for minimum requirements, and then forward them to the department for review by the search committee. HR will provide the committee with an applicant rating form to be used in evaluating applications. It should be noted that, per CSUEU collective bargaining provision Article 9.3, it shall be the policy of the CSU in filling vacant bargaining unit positions to fill such vacancies from among qualified individuals currently employed at a campus. Your HR recruiter can give you more information about this and how such applicants must be handled. The committee then returns the names of the top candidates

to HR for approval. Once approved by the HR recruiter, the committee or a department representative may schedule interviews. Interview questions, based on the job description, should be developed by the search committee and forwarded to HR for approval. HR will create an interview rating form based on the approved interview questions that will be used by the committee during the interview process. 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 and/or performance exercises are completed, justifications for hires and non-hires for all applicants are forwarded to the Appointment Authority and then to HR for approval. HR will be responsible for checking references and making an offer to a successful candidate. Once the offer is accepted, you will be notified to contact the candidate and begin the orientation process.

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 bargaining unit may also earn permanency after four (4) consecutive years of service, while those in the APC bargaining unit may earn permanency after five (5) consecutive years of service. A year of service is defined as an employee having compensable status for 275 days or more. 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 via the Center for Human Resources [Web site](#).

SDSU 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 Center for Human Resources.

Staff Performance Evaluations

All temporary, probationary, and permanent staff employees must receive performance evaluations each year. As supervisor 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. Your dean's office will send you a memorandum regarding these evaluations along with a date for forms to be returned to their office. The Report on Performance Evaluations for permanent staff employees are due to the Center for Human Resources by August 15, and reflect performance for the previous fiscal year. Forms and instructions on how to complete them are accessible at [Campus Electronic Forms](#).

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. These evaluations are also important in decisions about performance based pay awards, in-range progression pay, and promotions. Exceptional work by staff members as well as areas of concern and recommendations for correcting them should be noted in the written comment sections. 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 reviewing officer (typically a representative of the dean's office) 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 Center for Human Resources, for placement in the employee's official personnel file. A copy should also be placed in the employee's department/school 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 Center for 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.

Progressive Discipline

While the philosophy of progressive discipline is the same for staff as for faculty members, the collective bargaining agreements with the staff unions provide for different procedures. For all questions about standards of conduct, reprimands, and discipline in relation to staff, chairs should consult the Center for Human Resources.

CHAPTER VII

STUDENTS

Undergraduate Advising

SDSU 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 [Academic Advising Center](#) (AAC) in SSW-1551. Questions particular to major requirements, career prospects for the major, and graduate educational opportunities are directed to the undergraduate adviser in the respective department.

Within the department, the undergraduate adviser 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 adviser 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 Enrollment Services using a "Student Data Request" form available at www.sdsu.edu/registrar/datarequest);
- communicate with your majors/minors when necessary using regular mail, e-mail, or messages in their WebPortal using the "Student Electronic Message Request" form at the above Web address;
- obtain access the SDSU WebPortal "adviser" role so that you can access unofficial transcripts and degree evaluations for your advisees;
- 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.

These tasks are extremely time-consuming when done well and faculty members assigned to this service position should receive assigned time (course release) to facilitate their willingness to assume these duties. The undergraduate adviser 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 the adviser to maintain a working relationship with an adviser in the AAC for general questions and policy updates.

Graduate 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;
- notify the Graduate Division when students have successfully completed a comprehensive exam if Plan B is an option in the program chosen by the student;
- work closely with Graduate Division 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 Graduate Division regarding the reinstatement of students who have been disqualified;
- publicize the graduate program(s) to facilitate recruitment of the best caliber graduate students;
- negotiate with the dean's office as well as the [Graduate Division](#) about paid assistantships and out-of-state tuition waivers (these greatly facilitate the department's ability to recruit top candidates);
- 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 SDSU.

The graduate adviser 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 adviser and chair frequently discuss and choose a course of action on issues such as these. Because of its demanding workload, the position warrants course release whenever possible.

Rights and Responsibilities

The California State University is regulated by the California Code of Regulations. On this campus, there are three main sources for information on regulations that govern student behavior. One is the SDSU Policy File, especially the sections on Academics and on Codes. 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 source is the Web site of the [Center for Student Rights and Responsibilities](#) (CSRR). There you can find the full Statement of Student Rights and Responsibilities, a description of Judicial Procedures, and a link to the Office of the Ombudsmen (which is charged with receiving student complaints). Finally, the [General Catalog](#) 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. The [Graduate Bulletin](#) serves the same function for graduate students. Students are responsible for knowing the content of the catalogs, and abiding by the policies and regulations contained within.

At the beginning of each academic year, the CSRR will send to all faculty members a memo on Academic and Non-Academic Student Misconduct. This memo offers strategies to reduce problems in the classroom. 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 the judicial officers in the CSRR, as well as the Collaborative Incident Management Team, accessed through CSRR, 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 the greatest part of the work done at the Center for Student Rights and Responsibilities is to help students make better choices for the future. This includes offering alcohol and other drug programs if they are drinking or using drugs, anger management courses if they have problems getting along with professors or roommates, and interactive videos and reflective writing assignments if they have plagiarized or cheated. The CSRR 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. The CSRR 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 the CSRR.

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 Ombudsman](#) 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 Ombudsman, the next step in the Student Grievance Code. They also have the right to speak to the college 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 Associate Vice President 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 SDSU 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 Office of Employee Relations and Compliance, which 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 [CSRR](#) at which time CSRR 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 the CSRR is able to enforce removal of a student. If the student's continued presence in the classroom is highly disruptive, CSRR 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 him or her to [Public Safety](#) 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 the CSRR. 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, each college has an official “College Council” that serves as a support for student organizations that fall within each respective college, 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.

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 SDSU are more likely to stay in touch once they graduate and become supporters and donors themselves.

Students benefit greatly from student organizations. They can offer a human-scale sense of community among your majors and minors. This is crucial to helping students negotiate a large campus such as SDSU. 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 College Council to support scholarly activities for students.

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 [Student Life and Leadership](#) (Student Services West, room 1661) within the Division of Student Affairs. This entitles them to submit funding proposals to the Associated Students, through their College Council, for a budget, with the ability to plan events and invite speakers. 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.

Please note: Clubs and organizations should not be used as sponsors of events that are in fact being organized and presented by your department. Student facilities such as Aztec Center are financially supported entirely from student fees, without the benefit of state funding, and are managed by the Associated Students. Although recognized student organizations are entitled to free or discounted use of these student facilities, Associated Students policy requires student organization leaders to be the ones who initiate the event concept and be exclusively involved in the planning and presentation of events sponsored by the student organization in order to qualify for student rates. Department-initiated and sponsored meetings and events that utilize student organization members to assist in the execution of the department activity do not qualify for student rates. SDSU departments are required to pay modest rental rates offered at a special SDSU pricing for events held in student-operated facilities such as the Aztec Center, Open Air Theatre, and Cox Arena. Contact Aztec Center Meeting Services at extension 45278 for more information. Please also be aware that reservations in Associated Students facilities cannot be transferred from a recognized student organization to a department, or vice versa.

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 at www.sacl.sdsu.edu/studentorgs. Student organizations must apply for on-campus recognition status in the office of Student Life and Leadership.

Student Organization Requirements:

- Must renew recognition status once a year (start of Fall semester)
- Recognition is good from the date of approval through September 30 of the following year
- Undergraduate student officers must be enrolled in at least six units at SDSU and graduate student officers must be enrolled in at least three units
- President and treasurer must maintain cumulative SDSU and total GPA of at least 2.0 and cannot be on academic or disciplinary probation
- Must have at least five officers and five members who are students at SDSU (these can be the same five students)
- One student officer must complete the mandatory student organization online orientation
- Must have an eligible faculty or staff advisor who completes the mandatory online advisor orientation

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 to home addresses (available from the student information system, SIMS/R, by submitting the "Request for Student Information" form), 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 events of the student organization have gone through the Event Approval Process at least two weeks in advance with the office of Student Life and Leadership. All on-campus events are approved by Student Life and Leadership.

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.

Building Alumni Networks

Building alumni networks begins with identifying your current and past students. Former major/minors and current students at both the undergraduate and graduate level can be utilized as successful "recruiters" for your major or graduate program. It is reasonable to ask strong and reliable students (particularly at the graduate level or advanced undergraduate level) if they are willing to speak by phone or e-mail to students interested in declaring a major or applying to your graduate program. Prospective students greatly appreciate this offer.

You can foster alumni networks by taking some of the following steps:

- Contact the [Alumni Association](#) gift acceptance and recording (GAR) office and ask for their most recent contact information for your program's recent graduates. The Alumni Association GAR can also provide a list of majors and graduate students who have completed your program. They also have [alumni chapters](#), many of which

are based upon specific academic disciplines and colleges. If your group is interested in starting a chapter, contact the Alumni Association.

- Appoint one faculty member (possibly the undergraduate advisor) to be the e-mail contact for all graduating seniors.
- Put a bold type insert in your newsletter that asks alumni to mail in their "updated news and activities." Any address updates should be sent to GAR.
- Schedule an occasional alumni panel to discuss with your current students job possibilities, career paths, and other strategic insights.
- Share your department's long-term vision with alumni via the newsletter, informal social gatherings, or events you sponsor for the community.

Alumni networks can be the foundation of successful fundraising efforts, as the next section will discuss.

CHAPTER VIII

COMMUNITY AND DEVELOPMENT

Fostering a Culture of Philanthropy

State funding is simply not sufficient to support the more ambitious projects of a department. At times, it is insufficient even to cover basic supplies and services. While it is not necessary for a department to engage in philanthropic fundraising, every dollar you are able to bring in will enhance your department's graduate and undergraduate programs, recruitment and retention, faculty development efforts, scholarships, and much more. The university and college will have large projects that may involve your department or individual faculty members. You can play an important role in identifying methods and sources for raising funds that your department needs to meet its mission and goals.

University Relations and Development

One of SDSU's four divisions, University Relations and Development works with alumni, parents, donors, and the community to generate the external recognition, support, and financial resources the university needs to enhance academic quality and enrich the campus community.

All of the units within University Relations and Development work to bring recognition and resources to the university. The SDSU Alumni Association which builds lifelong relationships with alumni; Marketing & Communications, which builds an understanding of the university throughout the campus community, the media, community leaders and elected officials; and Development, which oversees all fundraising activities at SDSU, working closely with faculty, volunteers and donors to help meet college- and program-specific needs.

The Campanile Foundation

[The Campanile Foundation](#) (TCF), a CSU auxiliary organization, is the university's philanthropic tax-exempt foundation, serving as cornerstone of our fundraising efforts. Comprised of 34 prominent SDSU alumni, business and community leaders as well as campus representatives, the board offers the expertise, oversight and advocacy necessary to increase private giving and manage the philanthropic assets of the university. TCF's responsibilities include the management and administration of contributions received on behalf of the university and its related organizations. The Foundation is responsible for (a) managing and administering all bequests, estates, trust arrangements and endowments in which the university or Foundation is the intended beneficiary; (b) investing all funds and securities; (c) accounting and reporting for individual gift accounts; (d) valuing gifts for Internal Revenue Service and State of California reporting purposes; (e) complying with federal and state laws and regulations

regarding said contributions; and (f) accepting, managing and selling gifts of real and personal property.

Fundraising Priorities

Development is committed to raising private funds to support the following areas: student scholarships, faculty development, educational infrastructure, and program innovation. On July 1, 2007, SDSU launched the leadership phase (also known as the quiet phase) of its first comprehensive fundraising campaign. This seven-year effort seeks to make SDSU a top ten urban research university by raising funds that will allow the university to build on its strengths in teaching, applied research, and global engagement.

Prospect Management

It is imperative that the university community be in constant communication regarding any interactions with prospects and donors in order to present a united front and consistent messaging. The prospect management system is designed to coordinate and communicate prospect and donor assignments, activities and gift strategies for SDSU's campus-wide development program. A **prospect** is defined as any individual, family, corporation, foundation or other entity(ies) identified as having the potential or inclination to make a substantial gift to SDSU. A major gift prospect is defined as an entity capable of making a minimum commitment of \$25,000.

If you are interested in pursuing a particular individual or company in an effort to secure a gift to your department or program, please contact the director of development in your college. If you do not have a development professional in your college, contact Cecily Channer Schmid, Administrative Coordinator, Advancement Services and Prospect Research, cchanner@mail.sdsu.edu or 594-8264, before approaching the individual or corporation. She will help you determine whether the individual, corporation or foundation has already been cleared for cultivation or solicitation by another entity.

Prospect Research

Prospect Research stores and retrieves relevant prospect and donor information and conducts the research that helps development staff assess a prospect's affinity for SDSU (and specific colleges, departments and initiatives in particular) and financial capacity to make a gift to the university. Prospect Research maintains central files that are highly confidential and carefully secured. The colleges and units are expected to copy pertinent information to central files so they remain complete. If you receive correspondence from a donor or prospect, or come across other relevant information on him/her that might be of interest to others who work with him/her (e.g., news clippings), please send a copy of this documentation to Prospect Research for storage.

The following "Research 101" reference guide may assist you in gathering information about a potential donor or prospect you would like to pursue.

Research 101

- Gather up all of the information that you already have about a prospect.
- Search local newspapers: [San Diego Union Tribune Archives](#) (if you subscribe, you may set up your own account) or [North County Times](#).
- Do a [Google](#) search. It's worth taking the time to familiarize yourself with Advanced Search Tips listed on this site. Note: If your search results in too many hits, scroll down and click on "Search within results." This will allow you to add an additional search term that relates to your prospect, and will return a subset of the longer results list, narrowed down by this additional aspect.
- Search [CBS MarketWatch](#) for insider stock holdings
- The [SDSU Library & Information Access](#) Web site contains subscriptions to various databases that can be helpful, including EBSCOhost Academic Search, Lexis/Nexis Academic, and ProQuest Research Library.

NOTE: Be aware that the computer is looking for an exact match to your search requests; it is often beneficial to search various forms of a personal name (with/without middle name/middle initial, nick names, etc.). In addition, search the names of any businesses associated with the person. If you are unsuccessful, try to verify that you have the correct spelling.

If you are searching a foundation including a family foundation, do all the same searches (listed above) that you would do for an individual, *plus* check [GuideStar](#), which contains IRS 990 & 990-EZ information about nonprofit foundations (including family foundations). You will have to register with the site and create a password, but there is no charge for basic access.

Campaign Communications and Donor Relations

This team of professionals is responsible for development communications, special events, and donor relations and stewardship. Communications works to educate and inform potential and current donors about the exciting things that are happening at SDSU in order to persuade members of our community that the university is worthy of their investment of time, talent or treasure. 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 SDSU.

The President's Leadership Fund

Beyond the standard sources available for funding of projects, San Diego State offers another resource for faculty: The President's Leadership Fund (PLF). The PLF was founded in 2002 by The Campanile Foundation, SDSU's philanthropic auxiliary. The intent of The PLF is to provide seed money to support innovation, rather than being another resource for renewable, operational dollars. Faculty members are particularly

encouraged to apply with projects that leverage seed money to garner sustainable support, and those that directly benefit current SDSU students.

To learn more, or to apply for funding, please visit www.sdsu.edu/plf. Please note that The PLF has two funding cycles annually. Deadlines to apply are February 28th and September 30th. If you have any questions or seek additional information, please contact the office of The PLF at 619-594-8753.

Visions and Best Practices for the Future

At this time, SDSU is not able to allocate sufficient resources to carry out the development agenda that everyone agrees would be desirable for the university. That is why it is crucial for chairs to communicate openly with their deans to try to establish their priorities for the college's annual academic plan. Your dean will also advise you as to when the timing is right for the department to launch its development efforts.

What is the role of the department at this time? First, departmental priorities may well become college or university priorities. Clearly, the broader and more encompassing they are, the more likely they are to be adopted by the campus as a whole. Ideas that incorporate several departments or programs are the most likely to succeed. Second, departments need to be aware of major gift prospects, that is, community supporters or former students who have the potential to donate significant amounts to the university. No one expects the chair to take primary responsibility for nurturing these individuals. Nonetheless, they may feel a particular loyalty to your department or individual faculty members, and you may be asked to cultivate that relationship. Donor Relations and Stewardship can assist you with these efforts, so consider contacting Wendy Waddell at wwaddell@mail.sdsu.edu or 594-3448. Third, you can still take advantage of small gifts that come your way, and work on creating circumstances to attract them. Be sure to keep your dean informed about your progress.

Assuming that someday our resources meet our development needs, how might a department go about establishing a plan for effective fundraising in the future? The following is an overview of best practices for consideration, if not currently for implementation.

Alumni Networks

Fundraising often begins with your alumni, which is why it is important to build those networks (see Chapter VII). Of course, students who feel well educated and personally supported by their department are most likely to become lifelong supporters of their alma mater. You can involve those alumni networks in your philanthropic efforts in a number of ways:

- Establish a "Friends of [your Department]" Fund through the SDSU Campanile Foundation and send out a yearly "Letter from the Chair" updating your mailing list on the department's current activities and specific projects that need financial support.

- Identify a few key alumni who have distinguished themselves professionally and invite them to a luncheon to update them on your department's activities and goals.
- State the need for philanthropic support in order to envision and act creatively.
- Hold an annual event where alumni who have become donors see their generosity appreciated. For example, if someone gives money for a scholarship, invite the donor to the event where the student actually receives the award.
- Ask students who have received a scholarship or grant from a donor to write a personal, hand-written note to the donor expressing their appreciation and describing the work they are doing.

Formulating Your Plan

When your department has made a commitment to development work, it's time to get to work. Begin by consulting with other department chairs who have been successful or a colleague who attended a task-specific training session. Make an appointment with the development officer for your college, if there is one, or a representative from University Relations and Development, and invite him or her to a department meeting so the faculty can share ideas on how to raise money for a specific project. Explore a grant-writing tutorial with someone from the [SDSU Research Foundation](#).

Focus on one or two priorities for development. If you and your faculty have six to eight projects clamoring for funding, your collective efforts will be fractured. Identify your priority: do you want to fund an annual distinguished lecture series? If yes, which faculty member self-identifies as being willing to explore how other departments at SDSU have accomplished this successfully? If the fund-raising/grant-writing tasks are ongoing and extremely time-consuming, seriously consider allotting assigned time course release for these labors.

Allow yourself to "think outside the box." It is possible to identify donors who could be interested in a "Faculty Professional Development Fund" or a "Special Projects Fund." In all instances, with a respective donor, listen to their interests and priorities and craft an idea that appeals to them individually. Generic appeals are usually less successful than specific, finely-honed ideas that resonate with a potential donor's individual priorities. If you have someone you believe might be a likely donor, invite that person to lunch on campus and familiarize her or him with your department and its activities. Be sure to arrange for colleagues and other necessary people to be around. Since you are offering hospitality, it makes a poor impression indeed to knock on several faculty office doors, find everyone "out of the office," and continue the task of promoting your academic "community." Work with your college development officer to identify local businesses or individuals who might be interested in sponsoring your specific project. The relationships that result in donated money are often cultivated over time. Be patient and nurture the relationship. At best, a genuine reciprocity may develop.

Prospect Management (see the previous section on this process)

Advisory Boards

Explore establishing an advisory board that meets once or twice a year. The purpose of this board should be project-specific (e.g.: to raise money for an annual lecture or offer

advice on a particular issue). Advisory boards that meet without a specific goal usually fizzle out rather rapidly once the participants learn that their input is not vital. Your board can consist of active or prominent alumni from your department, key donors, and community supporters. It is imperative that you have a critical mass of faculty (perhaps two or three) who make the commitment to meet with this board. If only you attend as chair, or worse yet, if no faculty from your department attends these meetings to provide camaraderie or direction, you've not only failed in your attempt to build an alumni network, you've also inadvertently offended them. It is also useful to have current students on the board as a way of "bridging generations" and letting your current group share their enthusiasm with those no longer on campus.

Keep in mind that advisory board members require considerable and consistent nurturing, and some may become quite proprietary in their attitudes toward the department. You need to set clear boundaries between the appropriate work of the board and that of the department.

Newsletters

Newsletters are an excellent means for getting word out about current happenings in your department. Ask students who are involved in unique activities (research, travel, community-based service learning and so on) to write brief articles to appear in the newsletter under their byline. You can also list recently completed theses or senior projects in the newsletter. This acquaints your reading public with the scope of student work and may help recruit future quality graduate students. It is also a way to keep current donors informed about your activities, and inspire potential donors. Circulate the newsletter to community members at events and meetings. Your departmental Web site is also an excellent outlet for information about your events and activities. Make your web address public at every available opportunity and to keep the site attractive, user-friendly, and up-to-date.

Scholarships

San Diego State University is committed to building a scholarship endowment that will enable us to (1) recruit and retain nationally ranked student scholars, (2) provide opportunities for economically disadvantaged students, (3) enhance international learning experiences and (4) expand opportunities for engagement and research beyond the walls of the campus. An academically strong and diverse student body raises educational standards, promotes cultural understanding, enriches the lives of its students, and strengthens the community it serves. Thus, it is critical that as a major university we attract a student body of highly talented individuals and provide enhanced academic opportunities for all our students. This commitment will enhance the stature and reputation of San Diego State University while also preparing the students who will be the leaders, educators, entrepreneurs, and visionaries of the future in San Diego, in the region and in the world.

The university has implemented scholarship funding policies to create both annual and endowed scholarships. All work with potential donors should be done in coordination with the Dean's office and development officers that are associated with your department or program. These guidelines limit the scholarship criteria allowed at

various levels of funding to ensure that the funds can be utilized and that university is in compliance with donor scholarship agreements.

Scholarship Funding Priorities:

Amount	Category	Fund Type	Designation	Guidelines for Awarding Scholarship
Up to \$4,999	Annual	General Scholarship fund	University College / Department or Program	Established by University, college, department or program
\$5,000+ per year, minimum 3 yr commitment	Annual	Option as <i>Named</i> annual scholarship	University College / Department or Program	Donor may designate university approved scholarship priority
\$25,000 to \$49,999	Endowment	General Scholarship Fund	University College / Department or Program	Established by University, college, department or program
\$50,000 to \$999,999	Endowment	Option as <i>Named</i> endowed scholarship	University College / Department or Program	Donor may designate university approved scholarship priority
\$1million	Endowment	May be a named scholarship program	University College / Department or Program	Donor may set additional criteria to the above priorities in consultation with the university

*All scholarships must comply with Prop 209 Rules and Regulations-**scholarships cannot be designated based on ethnicity, religion, gender or sexual orientation.**

External Relations

As chair, you are often the public face and voice for your department/school both on campus and off. You may be called upon to attend public functions, speak on behalf of your programs to potential donors, be interviewed by local media or correspond with groups or individuals across the country regarding your department, faculty and students. These are important aspects of your duties as chair, and the bottom line is that you never underestimate the ceremonial role of your title and the importance your attendance brings to any occasion.

To help you better answer questions regarding your department, it is suggested that you prepare a set of “talking points.” What are your points of excellence? What are the strengths of your programs? What is the current research and creative focus of your faculty? What are the numbers (faculty, students, budgets, etc.)? Where are your graduates currently working? Who are your alumni? The list could go on. The important point is that you need to be well versed in all aspects of your department and be prepared to speak on its strengths at a moment’s notice. Nurturing a strong relationship with external constituencies is particularly important as state budgets decrease and the need for external funding sources grows. Potential donors are more likely to support

your programs if they feel a personal connection with someone at the university. Often you are that person.

It is your responsibility to make sure all materials about your department/school are current and factual. Given the growing reliance on digital information, it is particularly important that you monitor information on all Web sites (departmental and university) regarding your programs. The university's Development Communications professionals can assist you in creating print and electronic materials that convey your needs and conform to university standards.

You will also be asked to represent your department/school at university functions. You will be expected to attend your college's commencement ceremony as well as officiate at your department/school's post-commencement event. Faculty retirement celebrations, staff awards ceremonies, university convocations, and student orientations/welcomes are some of the additional times when your services as chair may be needed. The bottom line is that you never underestimate the ceremonial role of your title and the importance your attendance brings to any occasion.

College of Extended Studies

The [College of Extended Studies](#) (CES) is one of the eight colleges at San Diego State University and is the principal education/training outreach liaison with the local communities of San Diego and Imperial counties. CES annually offers hundreds of lifelong learning classes, seminars, certificate and degree programs, study abroad and other learning opportunities. Career advancement courses are offered in many areas of management, leadership, and quality improvement while self-enrichment courses range from astronomy to web design. Additionally, the College offers more than 35 certificate programs, online courses, and workforce development courses, many of which are approved for tuition waiver for eligible participants through the Workforce Investment Act.

CES is self-supporting and receives no general funds. All operating expenses including instructional salaries are generated from student tuition and fees. Over 25,000 CES enrollments are generated each year in hundreds of credit and noncredit classes. These enrollments come from such groups as: the business and industry, international students, military community, the greater San Diego workforce, working adults, and matriculated SDSU students. Classes are delivered face-to-face or via technology to local, regional and global audiences.

CES programs are offered through the three major CES departments: Extension, Professional Development and the American Language Institute. The scope of programs includes graduate degrees, credit and noncredit professional development certificates, workshops and conferences and study abroad. Major programs administered/offered by CES include:

- Open University -- This concurrent enrollment program enables non-matriculated students to enroll in university courses on a space available basis, with the consent of the instructor.
- Special Sessions – The special sessions courses provide a mechanism to offer departmentally approved resident credit courses that are not available through the general fund.
- Customized Programs – Customized professional development and workforce development programs are offered at CES, at business locations in the greater San Diego community, and online, 24/7.
- American Language Institute (ALI) – The ALI is one of the largest University-based English as a Second Language (ESL) programs in the country, provides English language instruction to thousands of international students who come to SDSU from around the world, to non-native English speakers living in and around San Diego, and to local and regional business and corporate clients.

In partnership with CES, the SDSU academic community broadens educational experiences for current students, fosters community engagement, serves nontraditional audiences and creates revenue streams for departments and colleges. Successful programs include those that provide real time education/training for new and emerging industries, cater to unique student demographics, fulfill a unique education or training niche and/or provide access to students who might not otherwise be able to take classes through SDSU.

CES has developed many successful collaborations with colleges and departments, including international study abroad programs, specialized MBAs and international business graduate programs, certificates in instructional technology and distance education, the Engineering-in-Training lecturer series, off-campus Masters of Public Health for Navy personnel, credit courses in Public Administration, and master degrees in Regulatory Affairs and Biomedical Quality Systems

CES provides a full range of program support services designed to enable programs to succeed and to be implemented in accordance with SDSU, CSU, and State of California policies and procedures. These support services include, but are not limited to, needs assessment, design, development, implementation and evaluation. Administrative services also include support for marketing, budget and financial management, registration and cashiering. Gateway and Extended Studies classrooms include computer and language labs, smart classrooms and convenient parking. Teaching opportunities for full and part-time faculty are available in Special Sessions, Extension, Professional Development, and American Language Institute programs. Contracts for departmentally approved courses taught through Extended Studies are arranged directly with faculty.

Department chairs and faculty are encouraged to contact CES to explore options for developing new programs, classes or workshops to broaden the educational experiences of matriculated students, to serve the needs of non-traditional learners, or to otherwise enhance the education, training, and learning experiences of the greater San Diego community, the State of California, or other national and international populations.

For additional information or to discuss program development opportunities, please contact one of the following CES program managers:

Jan Wahl, Associate Dean

jwahl@mail.sdsu.edu, 44906

Tamara McLeod, Executive Director, Professional Development Division,

tmcleod@mail.sdsu.edu, 45640

Bill Price, Executive Director, American Language Institute

wprice@mail.sdsu.edu, 44144

Francesca Ringland, Executive Director, Extension Division

ringland@mail.sdsu.edu, 43297

CHAPTER IX

RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY

Research and creative activity are core values of faculty, and serve to enhance educational experiences of graduate and undergraduate students. Although the approach to faculty research, scholarship, and creative activity (RSCA) varies across the university, the roles of the department chair are often similar, regardless of the discipline.

Department continuity and productivity will be maximized if faculty members are empowered by the chair to undertake the highest level of research and creative activity possible. The chair can optimize this empowerment by striving to remove roadblocks that might confront the faculty in the pursuit of developing and growing their research programs. Successful departmental leadership in the areas of original scholarship and creative activity requires the chair to serve as an effective role model, to lead the faculty in articulating a cogent, feasible, and challenging research, scholarly, or creative vision, and to provide important administrative support.

Role Modeling

Faculty members look to the chair as a role model for RSCA achievements. Accordingly, the chair should make it clear to the faculty that he or she understands the needs and demands of research-active faculty. Since the chair generally has more responsibilities than other research-active faculty in the department, it may not be possible for the chair to carry out the highest level of research and creative activity in the department. However, the chair should strive to maintain a scholarly program that is, at the least, at a level expected of most other faculty members. The faculty will then see that the chair still thinks highly enough of faculty RSCA to continue to dedicate the time and effort necessary to maintain an active scholarly program of his or her own in addition to all other responsibilities.

Vision

One of the most important roles of the chair is to work with the faculty to develop a departmental RSCA vision. Such a vision will not only determine research and creative areas, but will establish a growth-oriented, forward-thinking culture focusing on continual improvement of faculty and student RSCA programs. An RSCA vision can serve as a motivating force that gives faculty important contextual basis for growing their own programs, as well as for recruiting new faculty and guiding the emergence of new areas of scholarship, although faculty members should be encouraged in their autonomous scholarly programs. The chair should lead the faculty in developing a departmental vision of original scholarly activity, which can be done via an executive committee format, at department meetings or during retreats. Whichever the format, the chair should ensure full faculty participation. The resulting plan should be realistic, modern, forward-thinking, taking into account current faculty strengths, as well as planned hiring areas. The chair and faculty members should be open to modifying the

RSCA vision as the discipline and institutional goals change. Usually, departments should focus on building areas of strength, for which the department may become known, and which may be defended during areas of scarce resources.

Administration

The chair is responsible for giving faculty the time and resources necessary to carry out their scholarly plans. The chair usually determines how much faculty time is to be assigned for research and creative activity, manages the department budget to enable the appropriate assigned time, oversees departmental commitments to support a strong research infrastructure, and represents faculty interests and needs to the dean and the [SDSU Research Foundation](#) (if sponsored research is involved). Other administrative responsibilities range from providing appropriate space and equipment, to establishing a culture among the staff of helping to foster faculty RSCA activities.

If faculty members are expected to develop and maintain significant RSCA programs, they will need the time to do so. Generally, programs are initiated during the first several years of a faculty appointment. New faculty should be provided some release from teaching and service obligations to establish an independent RSCA program. The amount of assigned time for research will depend on how much the department can afford, while still covering the required teaching programs. For senior faculty, assigned time for research should be a function of past productivity. For junior faculty the level of assigned time for research should be articulated in the letter of offer. The chair should ensure that promotions committees know how much assigned time has been provided and what departmental RSCA expectations are, and convey departmental RSCA expectations to the entire faculty.

In some fields RSCA requires laboratory, studio, or performance space, which the chair or dean should provide. Depending on the field, other institutional resources may be required to maintain faculty research and creative activities, including research field vehicles, access to computer facilities, equipment, production costs, and administrative and office support staff. Although it may be beyond the chair's purview or financial wherewithal to provide these resources, he or she must mediate between the faculty and the dean in order to ensure that the requested resources are necessary and realistic, and to work toward resolving the solutions to such needs.

Faculty members often require financial support for their RSCA programs. The San Diego State University Research Foundation coordinates and manages extramural support for the SDSU community. Internal support opportunities are available through the [University Grants Program](#) (UGP), administered by the Division of Research Affairs. Faculty can apply for up to \$10,000, to include course release, summer stipends, student assistant funds, travel and equipment, and other assistance for RSCA. Encourage them to take advantage of this valuable program.

Policies

One of the chair's RSCA administration responsibilities is to understand the policies that govern the submission of proposals, administration of grants, and intellectual property and patent development. This understanding can include serving as a resource for where faculty can go to obtain information about grants.

SDSU provides an environment that fosters research and scholarship across all disciplines. The Division of Research Affairs is the central university office with oversight of research management, regulatory compliance, research assurances, and activities related to intellectual property development and technology transfer. The Director of Research Affairs is the university-wide advocate for research, scholarship and graduate education. The Director is responsible for institutional approval of all grant proposals and contracts relating to sponsored research, instruction, and service agreements. You can access the [Division of Research Affairs](#) home page for information about research related services and guidance.

Areas of immediate interest within the Division of Research Affairs include:

[Research Integrity and Regulatory Compliance](#): The Division of Research Affairs has oversight of regulatory assurances between the federal government and the university. These assurances are agreements that detail the responsibilities of those involved in the conduct of research (e.g., human subjects, animal subjects, biosafety, misconduct, and conflict of interest) to ensure the research is carried out in a manner consistent with accepted standards of ethical research practices.

[Intellectual Property and Technology Transfer](#): SDSU fosters the development of ideas and the broad dissemination of these ideas for the purpose of serving the public interest, while simultaneously striving to protect the legitimate private interests of members of the University community. Responsibilities associated with the development of intellectual property are described in the [University Policy](#) File under Codes: Copyrights, Trademarks, and Trade Secrets and Codes: Patents. In addition, faculty may obtain advice and assistance in the commercialization of their inventions, copyrights, and other scholarly work through the [Technology Transfer Office](#) located in the SDSU Research Foundation.

SDSU Research Foundation

Grant and contract proposals are submitted through and administered by the [San Diego State University Research Foundation](#). Cradle to grave services are provided to faculty and staff interested in obtaining external funding for their research. The Research Foundation works closely with chairs and deans to facilitate the research programs of SDSU researchers.

The Research Foundation's office of communications is responsible for the identification and dissemination of grant information to the university community. A database of faculty interests is used to match grant opportunities with appropriate faculty. The staff

receives and distributes information to SDSU researchers 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 research development office at the Research Foundation can assist with budget preparation, negotiation of awards, completion of application forms, contacting sponsors, compliance issues, and duplicating and mailing of proposals. This is the “pre-award” unit and the office faculty should contact once a sponsor has been identified and a proposal is being developed.

A rich source of information about proposal preparation and submission can be found at http://www.foundation.sdsu.edu/srd/submission_guidelines.html. 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 Research Foundation Routing Form, which accompanies all proposals, the chair 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 is 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 as a stipulation of carrying out a particular project, this must be stated in the Routing Form and by signing that form, the chair has agreed to fulfill those stipulations.

Project Administration

All post-award services for research grants and contracts are provided through the Research Foundation. The information necessary to understand all aspects of award administration can be found at <http://www.foundation.sdsu.edu/pag/index.html>. Once a grant has been awarded, the department of Sponsored Research Administration at the Research Foundation is 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 grant administrator. The grant administrator 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 administrator 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.

CHAPTER X

INTERNATIONAL PROGRAMS

Exchange Visitor Program

Many international visitors come to SDSU to participate in the [Exchange Visitor Program](#) in J-1 visa status. The Exchange Visitor Program is administered by the United States Department of State (DOS) which designates SDSU to sponsor scholars in the J-1 visa category. Eligibility for J-1 sponsorship is determined by federal regulations. J-1 Exchange Visitors are allowed to teach, conduct research, observe, consult, and/or demonstrate special skills at SDSU. SDSU has also established agreements with many international institutions. The faculty exchanges that are coordinated with SDSU partner institutions may involve assisting foreign nationals with J visas; however, these types of faculty exchanges are not to be confused with the Exchange Visitor Program administered by the U.S. Department of State.

J-1 visitors must show that they have a minimum of \$1,600/month support to cover the time period of their program. If their J-2 spouse accompanies them, it's an additional \$500/month for the spouse, and \$200/month for J-2 children. J visitors may receive payment from SDSU, government agencies, or other organizations, or come on their own personal funding. Each department who invites an international scholar to visit SDSU should be prepared to provide individual assistance to the visitor and their family, especially upon arrival.

The maximum stay in the United States in J-1 scholar visa status in the "Research Scholar" or "Professor" category is five years. "Short term Scholar" status is available to those scholars who will be in the U.S. for 6 months or less. Their appointment is temporary, even if the position is permanent. Visitors in J-1 status may not be considered as candidates for tenure-track positions. Please contact the Office of Faculty Affairs or your dean's office for more information.

Office of International Programs

The [Office of International Programs](#) (OIP) has specific responsibility for coordinating and facilitating the development of international programs and activities at SDSU. OIP is the primary contact for international programs and represents the university on international matters to external agencies and institutions.

Faculty Development

OIP supports faculty development in the international arena. It organizes workshops on Fulbright faculty grants and other opportunities. Twice each year OIP conducts a grant competition to support faculty international travel in order to enhance international study experiences for SDSU students through strengthening of existing SDSU programs or development of new programs. OIP has appointed International Programs

Coordinators for most of the colleges. These faculty coordinators work closely with faculty to assist them in developing and expanding SDSU's overseas programs.

Student Exchanges

OIP is in charge of administering international student exchange agreements with partner universities. Student exchanges, however, should be initiated and developed by faculty members. Guidelines for these agreements are found on OIP's web page.

Visiting Scholars

OIP also provides guidance to visiting scholars regarding faculty exchanges, housing, office space, technical support, and research activities. The visiting scholar is expected to have a faculty sponsor and hosting department at SDSU. OIP does not provide housing, travel, or other financial support for international visiting scholars.

Fulbright Program

The U.S. State Department Fulbright program offers a variety of grant opportunities for both faculty (www.cies.org) and students (www.iie.org/fulbright) in over 140 countries worldwide. OIP has designated an SDSU Fulbright Adviser to provide project guidance to those interested in applying. For more information, contact Professor Patricia Huckle at huckle@mail.sdsu.edu.

Non-U.S. scholars or students must apply in their country of origin for consideration. Students who do not intend to enroll in a degree program need only have an affiliation with a department. Students who wish to enroll in a degree program (mostly graduate students) apply through the Graduate Division. The Fulbright Scholar in Residence Program permits the institution (a department or college) to invite a scholar to be in residence for a semester or year, and to teach classes. Sometimes scholars in other countries wish to come to SDSU, and apply to a department for support for their Fulbright application. If the department agrees to host the faculty member, the chair writes a letter of support to Fulbright. Hosting is entirely the responsibility of the department. Fulbright handles the visa process for its visiting scholars.

International Student Center

The [International Student Center](#) (ISC) advances SDSU's mission to be a global university by serving as a resource crossroads for international students seeking educational opportunities at SDSU, and for SDSU students seeking educational opportunities in other countries. The ISC offers a full range of programs and services to a variety of communities on and off campus in an effort to foster student success, global perspectives, intercultural awareness and international goodwill.

International Students

Working closely with over 1400 international students from more than 90 countries spanning the globe, the ISC provides support services that meet the logistical, regulatory, cultural, academic and personal development needs unique to SDSU's most diverse student community. The International Student Center is responsible for assisting

prospective international students inquiring about how to apply to SDSU. The international application process for graduate and undergraduate admission is coordinated through the ISC. The ISC actively recruits prospective international students and encourages them to apply to SDSU and join our international community.

The International Student Center is responsible for immigration advising for the international student population and SEVIS (Student Exchange Visitor Information System) compliance for the campus. Any questions related to international student F-1 and J-1 visa status should be directed to the International Student Advisors at the ISC. An international student is defined as a student who intends to or already holds the F-1 or J-1 visa status. (Questions about H-1B visa status for faculty should be directed to the [Office of Faculty Affairs](#).)

The International Student Center coordinates a variety of activities designed to foster intercultural goodwill, understanding and friendship. One such activity is provided by the Intercultural Ambassadors Program through which selected international students make home-country presentations in San Diego schools. The InterNational Partners Program provides service-learning opportunities for international students in the San Diego community by linking students and local community service organizations. In addition, the ISC invites faculty, staff and the community to become American Friends to international students new to SDSU and to participate in the many events listed in the ISC Calendar of Intercultural Activities. These include the International Coffee Hour, International Peace Village and Festival, International Exchange Camps, and International Film Festivals.

Study Abroad Students

The International Student Center provides services to all students who want to study abroad as part of their educational experience at SDSU. See www.sdsu.edu/studyabroad. The ISC serves as SDSU's study abroad resource center, acting as a window to the world for students beginning the journey. When students have questions about how to study abroad, what opportunities are available, or how to prepare for their time abroad, the ISC becomes their one-stop shop.

The ISC administers SDSU's reciprocal student exchange programs, providing various support services for participants in the 108 agreements SDSU has signed with institutions around the world. It serves as the university's liaison with the CSU International Programs Office, which offers CSU students the traditional year of study abroad experience. The ISC coordinates all promotion, recruitment, selection, processing, and orientation participants from SDSU.

The ISC also coordinates the risk management program for all SDSU students who study or travel in other countries. The focus of the program is to ensure that all participants are adequately insured and prepared for maintaining optimal health and safety abroad, and for planning how to respond to a wide range of possible emergencies.

Appendix I

CAMPUS RESOURCES

Analytic Studies and Institutional Research

Sally Farris, Director, 594-6846

[Analytic Studies & Institutional Research](#), located in Manchester Hall 3310, provides official university information to the SDSU community, the California State University Chancellor's Office and external agencies. Check its Web site to access reports on applications, enrollment, student profiles, continuation and graduation rates, and so on.

Associated Students

Government Affairs Office, 594-6555; Business Office, 594-6487

[Associated Students](#) of San Diego State University (A.S.) is an independent student-directed corporation that provides a wide range of services and programs for SDSU students, faculty, staff, alumni, and the general public. A.S. is the umbrella organization for student government on campus, which includes the College Councils and the student clubs that make up the councils. A.S. is also a corporation that runs the SDSU Children's Center, the Aztec Recreational Center, Cox Arena, and the Open Air Theatre. A.S. offices are located in the Aztec Center, which provides meeting services for conferences and special events.

Business Enterprises

Business Enterprises generates new revenue streams for the campus, finds corporate partners and ways to reduce fixed costs, and delivers high quality, best-priced services and products to the campus community. The department includes [Business Services](#), [Procurement Services](#), [Telecommunications and Network Services](#), and [University Computer Operations](#). [Central Stores](#), [ReproGraphic Services](#), and [Telecommunications and Network Services](#), are largely self-supporting. General Fund monies are reserved for core service areas such as [Material Management](#), [Procurement Services](#), and [University Computer Operations](#).

Career Services

James Tarbox, Director, 594-4379

[Career Services](#) provides information and resources to students and employers, including job listings, interview schedules, career fairs, and advice on choosing a major. There is a section on the Web site for faculty and staff.

Counseling and Psychological Services

Sandy Jorgensen-Funk, Director, 594-5220

[Counseling and Psychological Services](#), located in Calpulli Center Room 4401, provides services to students including group and individual therapy, personal growth

workshops, pamphlets and video tapes, a relaxation chamber, online 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.

Employee Relations and Compliance, Office of

Jessica Rentto, Director, 594-6464

The [Office of Employee Relations and Compliance](#) was established as part of a larger shared vision effort to bring issues of diversity, equality and campus climate to the forefront of university life. The Director serves on the President's Cabinet, and advises and guides the President and the campus on policy and practice related to diversity and equity. The office 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; provides leadership and advice in matters of diversity, equity, and federal affirmative action; investigates and resolves discrimination complaints; interacts with the community; and serves as a resource to faculty on relevant curriculum issues. The Web site includes relevant university, state, and federal laws and policies; information on recruitment and hiring; data on campus diversity; complaint procedures, and various other resources.

Enrollment Services

Dr. Sandra Cook, Executive Director, 594-5384

[Enrollment Services](#), located in Student Services West 1575, is responsible for several key academic functions, such as class schedule production; faculty workload reporting (APDB Reports), which includes assigned time, supervision reconciliation, and faculty assignments by department (FAD); and facilities scheduling, which includes allocation of university-wide classroom space, large lecture halls, and rooms for special groups.

Enrollment Services also includes the following offices:

[Office of Admissions](#)

Provides information for prospective and newly admitted students.

[Office of Advising and Evaluations](#)

Advises undergraduate students regarding General Education, graduation requirements, choices of majors, and official degree and graduation evaluations.

[Office of the Registrar](#)

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

[Prospective Student Center](#)

Part of the Office of Admissions, the Prospective Student Center communicates with prospective and new applicants to SDSU, and serves as the point of contact for campus tours.

[Student Recruitment and School Relations](#)

Conducts presentations and visits to high schools and community colleges; and hosts events for prospective students.

[SIMS/R](#)

Maintains and administers the Student Information Management System.

Environmental Health and Safety

Terry Gee, Director, 594-2853

[Environmental Health and Safety](#) (EH&S) develops and maintains programs aimed at protecting the safety and well-being of the campus community. EH&S ensures compliance with local, state and federal statutes and regulations pertaining to health, safety and environmental protection. EH&S also publishes the Campus Safety Quarterly.

Financial Management

The Office of Financial Management, in the Division of Business Affairs maintains the campus support budget, managing the general budget, lottery funds, continuing education, housing, parking and trust funds.

Key financial information can be found at the following locations:

Accounting: <http://bfa.sdsu.edu/~leap/>

Budget and fees: <http://bfa.sdsu.edu/~budfin/>

Travel policy/procedures: <http://bfa.sdsu.edu/ap/index.htm>.

General Accounts Payable forms: <http://bfa.sdsu.edu/ap/forms.htm>

Human Resources, Center for

Benefits, Melanie Doyle, 594-2449

Employment, Elvira McCalip, 594-4648

Payroll, Lisa Winters, 594-4655

The [Center for Human Resources](#) is responsible for benefits and employee services, compensation and payroll, employment and classification, training and development, employees' disability programs, and worker's compensation. You can find helpful handbooks on volunteer employees and student assistants. The Center has moved to new offices in the College of Extended Studies building.

Instructional Technology Services

James Frazee, Director, 594-2893

Instructional Technology Services (ITS) provides support and leadership to the university for the effective uses of technologies for enhancing learning as well as facilitating research and strategic initiatives. It fosters collaboration and innovation with faculty and university stakeholders in the design, development, and effective use of learning environments and educational media.

Ombudsman, Office of the

Marit Bessesen, Acting Ombudsman, 594-6578

The Ombudsmen are the student liaisons or mediators, assisting in resolving all sorts of problems including administrative procedures, appeals/waivers, and grade disputes. Procedures for handling student complaints are found at <http://www.sa.sdsu.edu/ombuds/index.html>.

Physical Plant

Physical Plant offers a comprehensive system of planned/programmed maintenance and tracks deferred maintenance. The services provided are varied and include air conditioning and heating, elevators, lighting, painting, cleaning, and groundskeeping to name just a few.

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.

- Phone (ext. 44754)
- E-mail (wcontrol@mail.sdsu.edu)
- Fax (ext. 41711)
- Mail (mail code 1401)
- Or in person: visit Room 108, [Physical Plant Building](#), in the northeast corner of campus. Regular office hours are Monday through Friday, 7 a.m. - 4:30 p.m.

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://bfa.sdsu.edu/plant/index.htm>.

Public Safety

John Browning, Chief of Police, 594-1991 (or 911 for emergencies)

[Public Safety](#) 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, key issue, fingerprinting, parking and traffic enforcement, emergency preparedness response, and much else. Public Safety is located in the Department of Public Safety building. Check their Web site for further information and useful publications.

Student Disability Services

Mary Shojai, Director, 594-6473

[Student Disability Services](#) 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. DSS 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 DSS Web site provides two useful guides: Responsibilities of Faculty for Providing Academic Accommodations for Students with Disabilities, and Responsibilities of Academic Administrators for Providing Academic Accommodations for Students with Disabilities.

Student Rights and Responsibilities, Center for

Susan Shuckett, Director, 594-3069

The [Center for Student Rights and Responsibilities](#) has a Web site that posts the full text of the university's [Statement of Student Rights and Responsibilities](#). This very useful resource includes university policies on privacy, nondiscrimination, disciplinary policies and procedures, sexual assault, alcohol abuse, and smoking. The CSRR is also responsible for acting on behalf of the President 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.

Teaching and Learning, Center for

Dr. Brock Allen, Co-Director, 594-3157

Dr. Kathy Williams, Co-Director, 594-4358

The [Center for Teaching and Learning](#) is designed to coordinate and/or inform the campus of events related to teaching and learning, bring together faculty with shared interests, promote workshops and lectures on teaching/learning topics, and encourage research into topics related to university curricula and classrooms. The CTL is the place to send faculty members who are having difficulties in the classroom, or who are interested in innovative pedagogies. The CTL can also assist your faculty in syllabus design, learning outcomes, and assessment.

Appendix II

GLOSSARY

University Acronyms and Jargon

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 SDSU, 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 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: Graduate Teaching Associates (TAs or GTAs), Graduate Assistants (GAs), and Instructional Student Assistants (ISAs). The classification standards can be found on the Center for Human Resources 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, including Code 22b (assigned time for research), Code 31 (advising), and Code 32 (committee assignments). Exempt ASEs (see below) may also be given assigned time in addition to instructional assignments.

ATF: Academic Transaction Form. This form triggers payroll activity. Every change in an employee’s status (hiring, separation, change in time base, etc.) must be accompanied by an ATF.

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.

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 SDSU, consider it 23 universities under the umbrella of a central office.

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 students, and all student assistants are non-exempt.

FAD: Faculty Assignment by Department report. Like the APDB (see 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% 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). Incidentally, the Unit 11 CBA provides for a 14-day filing notice.

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.

FTMS: Full time monthly salary. All salary calculations are done on the basis of FTMS. If an appointment is less than full time, the actual salary paid is a percentage of the FTMS.

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

GRSFIF (or GRIF): Grant-Related/Specially-Funded Instructional Faculty. An appointment classification at a salary level above academic year or 12-month faculty salaries. To be eligible for a GRSFIF appointment, a faculty member must meet a number

of criteria including obtaining substantial grant and contract funding from multiple sources.

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

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. Formerly referred to as “temporary faculty,” the nomenclature, “lecturer” is currently preferred and more accurate.

LWOP: Leave Without Pay. Leaves may be personal or professional, full-time or part-time, and available to both tenure-track faculty and lecturers. Under different 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 is delegated by the President to the Associate Vice President for Faculty Affairs.

Outside employment: Work that is not compensated by the CSU or its auxiliaries. Although the CBA does not impose any limits on outside employment, SDSU’s current policy on external professional activities limits them to the equivalent of a 20% overload. Outside employment must not interfere with the faculty member’s performance of his or her normal work assignments.

Overload: See “additional employment.”

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. Tenure-track PAFs are housed in the Office of Faculty Affairs; lecturer PAFs in the departments. 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 or periodic evaluation. The WPAF for RTP decisions has a centralized and formal

structure. The WPAF for periodic evaluations is less formal, and consists of documents determined by the department. The WPAF is returned to the candidate after the review or evaluation. All personnel decisions must be based upon the PAF (and its extensions).

PDS & 1-K file: The Personnel Data Summary and One-of-a-Kind File constitute the Working Personnel Action File (see above). The first is a summary of the candidate's professional record; the second includes the documentation of all the items listed in the PDS.

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 the first two years of a three-year contract, and tenured faculty (also called post-tenure review).

Performance review: These are evaluations that do lead to a personnel action: 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.

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, RSCA has become a way for SDSU to recognize the diverse professional activities of its faculty.

RTP: Reappointment, tenure, and promotion; the core evaluative process of the university.

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

STC: Statement of Terms and Conditions. The contract used for faculty appointments. For 2008-09, the university stopped using STCs for tenure-track appointments. They are still used for lecturer, TA, and GA appointments.

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.

Web Portal: An interactive tool that allows SDSU students, faculty and staff to access a variety of enrollment and admissions resources online. Among many functions, the WebPortal allows students to pay their registration fees online, register for classes, download unofficial transcripts and degree evaluations, evaluate their faculty members, and vote in Associated Students elections.

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)

Appendix IV

RESPONSIBILITIES OF THE CUSTODIAN OF THE PERSONNEL ACTION FILE

The President has designated the department chair or school director as the custodian for the Personnel Action Files for all temporary faculty members (full-time and part-time). This document explains the responsibilities of a custodian, and the specific tasks you might be called upon to undertake.

What is a Personnel Action File?

The Unit 3 Collective Bargaining Agreement defines the Personnel Action File (PAF) as “the one official personnel file for employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee.” The PAF contains documents upon which periodic evaluations, performance reviews, lecturer reappointment decisions, and salary recommendations are based. The Office of Faculty Affairs has prepared a separate document that identifies what kind of documents should and should not be in the PAF.

Who is the custodian of the PAF?

The Associate Vice President for Faculty Affairs is the custodian for all tenure-track (tenured, probationary, and FERP) faculty members. The chair of the department or director of the school is the custodian for all temporary (full-time and part-time) faculty members appointed in that unit. The AVP for Faculty Affairs is the custodian for temporary faculty members whose appointment is in a dean’s office. The Dean of Library and Information Services is custodian for temporary librarians. The Dean of the Imperial Valley Campus is the custodian for IVC. The Director of the Center for Human Resources is the custodian for Unit 3 coaches. The Vice President for Student Affairs is the custodian for temporary SSPAR (Student Services Professionals, Academically-Related) counselors.

What are the responsibilities of the custodian of the PAF?

The custodian of the file is responsible for maintaining the accuracy, completeness, and security of the PAF. The custodian decides what documents are appropriate to be placed in the file and assures that filing notices required by the CBA are observed, the file is accessed only by people with official business, all instances of access to the file are logged, and the file is held in strictest confidentiality. The chair or director may be assisted by administrative staff in maintaining the files, but the custodian has the ultimate responsibility for them.

What qualifies as “official business”?

The PAF may be accessed by members of peer review committees constituted for the purpose of conducting a performance review or periodic evaluation, for determining a market/equity or merit-based salary increase, for recommending on range elevation, or for appointment or reappointment decisions. The PAF may be accessed by an appropriate administrator, such as the dean or AVP for Faculty Affairs, who may need to respond to an information request or grievance. No other faculty members should have access to the PAF; no one outside the university should be given access without the approval of the AVP for Faculty Affairs. Anyone accessing the file on official business must sign an access log which becomes part of the PAF. Review the example of a PAF access log on the Faculty Affairs web site.

What rights of access does a faculty member have to his or her file?

A faculty member has the right of access to all material in his or her PAF, exclusive of pre-employment material (for example, letters of recommendation). She or he also has access to pre-employment material if such materials are used in subsequent personnel actions other than appointment (for example, an evaluation or disciplinary action). A faculty member wishing to inspect his or her file must make an appointment, which shall be scheduled promptly during normal business hours, and has the right to be accompanied by another person. Any request for a copy of the PAF should be forwarded to the Office of Faculty Affairs.

What responsibility does the custodian have for correcting the PAF?

If, after inspecting the PAF, a faculty member believes that any portion is not accurate, he or she may request in writing that the custodian of the file correct or delete that material. The custodian shall decide whether or not to grant that request. If the custodian denies the request, the faculty member may appeal the decision to the Provost (for tenure-track faculty) or the Associate Vice President for Faculty Affairs (for temporary faculty).

What other files can the department or school maintain, and what is their relationship to the PAF?

The PAF should indicate the location of other records on campus to which the faculty employee has access. For example, the department must maintain files containing the results of student evaluations, but they need not be placed physically in the PAF as long as it indicates the existence of these files. Material that is inappropriate to include in a PAF may be kept in departmental (general) files: for example, research reports, grant applications, assigned time reports, or everyday correspondence. Departments and schools (or colleges) may also maintain copies of material contained in the official PAF for convenience, but such files should not be open to anyone other than the faculty member, the chair or director, or the administrative coordinator (an administrator may also access the files). All personnel actions must be based upon the official PAF, whether that resides in the department/school or the Office of Faculty Affairs.

Probationary and tenured faculty members undergoing a performance review prior to reappointment, tenure, or promotion decisions must put together a Working Personnel Action File (WPAF) which is an extension of the PAF and exists only for the RTP cycle. Departments and schools may request that faculty members undergoing a periodic evaluation compile materials (for example, syllabi, examinations, curriculum vitae) into a working file that, along with student evaluations, become the basis for the evaluation. These materials should be returned to the faculty member when the evaluation is completed and the final reports of the committee and/or administrator are filed in the PAF.

What about Unit 11 personnel files?

All Academic Student Employee personnel files are located in the department or school office, and the chair or director is the custodian of the files. Unit 11 personnel files should be distinct from student files. The provisions of the Unit 11 CBA are similar to those of the Unit 3 CBA except that the filing notice is 14 days instead of 5. A Unit 11 employee may authorize in writing that his or her representative(s) have access to the file; the authorization is good for 30 days. If a Unit 11 employee requests a copy of the personnel file, notify the Office of Faculty Affairs promptly as the university has 14 days to comply with the request. The Unit 11 employee has 30 days to append material to an evaluation or to request of the custodian correction of factual, non-evaluative information.

Appendix V

VOTING RIGHTS AND COMMITTEE SERVICE FREQUENTLY ASKED QUESTIONS Office of Faculty Affairs

- Q. What documents govern who can vote on matters before a department, school, or college? What about service on committees?
- A. As in most procedural matters, policies on voting and committee service are governed first by the Collective Bargaining Agreement (CBA) between the CSU and CFA and by the SDSU Policy File (PF). In any matters that are not addressed by these two documents, the policies of the department, school, or college shall determine voting rights and committee service.
- Q. Who may serve on faculty search committees, and who may vote?
- A. According to the CBA, peer review committees for the purpose of recommending probationary appointments (hereafter called “search committees”) shall be elected by the department or equivalent unit. Only tenured and probationary faculty may serve as voting members of a search committee. Departments may elect faculty members from other departments who have full voting rights on the committee. Although the CBA and PF do not specifically state that only tenured and probationary faculty may elect the search committee that is common university practice (and common sense). Department chairs/school directors are faculty members and may serve on search committees according to the practice of the department or school. Representatives of other groups—students, lecturers, administrators, staff, or community—may serve on search committees, but they may not vote. Although they may offer their evaluations and opinions, which may be considered by the elected members of the committee, these representatives should not participate in straw votes nor be present during formal votes.

The CBA states explicitly that a peer review committee is elected “for the purpose of reviewing and recommending individuals for probationary appointments” and that its “recommendation report shall be approved by a simple majority of the membership of that committee.” That recommendation goes to the President (or designee, such as the dean) who makes the appointment, not the department or school. In other words, the search committee, not the department as a whole, is empowered to make recommendations. (The search committee may be the entire department, in which case this distinction is irrelevant.) The Policy File permits a majority of a department or school to ask the search committee to reconsider its recommendations, but it may not substitute its own recommendation for that of the duly elected committee.

- Q. Who may serve on personnel committees for performance reviews and periodic evaluations?
- A. According to the CBA, only tenured faculty members may serve on committees that evaluate faculty employees. Peer review committees constituted for the purpose of conducting performance reviews (reappointment, tenure, and promotion) must be elected by the tenured and probationary faculty of the unit. The same peer review committee should conduct periodic evaluations of probationary faculty in the years they do not undergo a performance review. Committees constituted for the purpose of conducting periodic evaluations of temporary faculty or tenured faculty (“post-tenure review”) may or may not be the same as the peer review committee described above, and need not necessarily be elected. However, membership is still limited to tenured faculty. Probationary and temporary faculty members may provide peer input for periodic evaluations, but may not conduct the actual evaluations.
- Q. Who can serve on committees that review sabbatical and difference-in-pay leaves?
- A. Professional leaves committees, whether within the department/school or college, shall be elected by the tenured and probationary faculty of the unit. Only tenured faculty may serve. This committee may be the committee that performs peer reviews, or it can have different members.
- Q. Are there any other circumstances for which the CBA requires or defines committee membership? What about the Policy File?
- A. The CBA requires that applications for market increases be reviewed by a committee of tenured faculty, but the members need not be elected.

The new CBA also outlines procedures for the election of faculty to the Faculty Hearing Panel that may be selected to hear faculty grievances. All faculty may vote to elect members from their department or equivalent unit, proportionate to their time base, but only full-time faculty may serve.

The PF offers guidance on only a few areas of committee service (other than Senate committees). It calls for a faculty committee to be appointed by the dean to review nominations for Alumni Awards. Requests for temporary faculty range elevations must be reviewed by “the unit,” which can be a committee appointed by the chair or director. A dean may appoint an ad hoc committee to review proposals to create, merge, transfer, or abolish departments and schools. Although the PF is not explicit on who may vote for a department chair or school director, it says that a periodic review shall require, at minimum, a referendum by probationary and tenured faculty. It makes sense, therefore, that only tenured and probationary faculty shall vote to recommend the appointment of a chair or director to the dean. All other references to committees and voting are specific to the membership and committee structure of the Senate itself.

Q. Can someone serve on a committee that makes a decision about a member of their immediate family?

A. No. In addition to being a clear conflict of interest, this would violate the PF: "Faculty employees shall neither initiate nor participate in institutional decisions involving a direct benefit (initial appointment, retention, promotion, salary, leave of absence, etc.) to members of their immediate families."

Q. What about other, non-personnel committees, such as curriculum, honors and awards, budget, and so forth? Are these committees limited to tenured and probationary faculty members?

A. No. The CBA is silent on such matters as they do not fall within the scope of collective bargaining. Therefore, the PF says that membership and voting eligibility shall be determined by the departments, schools, or colleges. Many lecturers have provided exemplary service to the university through their work on a variety of committees. It should be noted that neither the CBA nor PF makes a distinction in this regard between full-time and part-time lecturers.

Q. What is the minimum number of people needed to constitute a committee?

A. The CBA does not specify a minimum number. The PF says that the "minimum number for a group making recommendations concerning appointment, reappointment, tenure, promotion, and reassignment shall be three." For all other purposes, common sense prevails: one person is an individual, two are a couple, and three (or more) a committee.

If a department or school does not have a sufficient number of eligible persons to serve on a peer review committee, it may elect faculty members from a related department. The department chair or chair of the peer review committee would be responsible for soliciting names of willing and eligible candidates, who must then be elected, like the departmental members, by the probationary and tenured faculty of the unit.

Faculty members serving on peer review committees in their home departments are also eligible to be elected to peer review committees for reappointment, tenure, and promotion in related departments. Department chairs and school directors are also eligible to serve on such peer review committees in related departments, even if they are writing independent chair letters in their home departments. However, no one can serve on two levels of review (i.e., department/college/university) for the same candidate.

Q. I have read in the Policy File that faculty members not in residence shall not have voting privileges. What does this mean?

A. It isn't clear. The term "in residence" is not used in the CBA, nor is it defined in the Policy File. Therefore, we would look to common sense and prior practice. In the broadest sense, "in residence" means that the faculty member is physically able to attend all required meetings. So faculty who are on sabbatical, for example, but in town and willing to serve on a committee and attend all meetings, may serve. But faculty who are spending their leave outside San Diego would not be able to serve. (Please keep in mind that service while on leave must be entirely voluntary. No faculty member shall be compelled to serve on a committee while on paid or unpaid leave.)

Q. So this means that a faculty member on sabbatical or leave without pay can vote for and serve on committees?

A. Faculty members who are on sabbatical or difference-in-pay leave are considered to be in work status, and thus eligible to vote and serve. But they should not be required to serve if they do not wish to. Faculty who are on a full-time leave without pay, on the other hand, are not considered to be in work status, so they should not serve on committees defined by the CBA. If the department or school conducts its votes in a way that permits faculty at a distance to vote (by email, for example), however, there is no reason why they could not vote.

Q. Can committee members participate at a distance, through video- or tele-conferencing?

A. Again, there are no rules on participation at a distance. In general, it has not been prior practice on this campus, but technology has advanced greatly in recent years. Certainly, those committees that are not defined by the CBA can adopt their own rules about participation at a distance, and voting by email has become quite common. But for peer review and search committees, members should be present for discussions and voting. These committees base their recommendations on confidential one-of-a-kind files, so they should be physically present with the files when they vote. On rare occasions, when serious and compelling circumstances makes it impossible for all members of the committee to convene in one place—especially when the matter at hand is not controversial or does not require the review of a one-of-a-kind file—it might be permissible to engage a member at a distance. But receive approval from the AVP for Faculty Affairs first.

There is one practical and reasonable exception to this rule: committee service by Imperial Valley Campus faculty at the San Diego campus, and vice versa (for example, San Diego departmental members of IVC search committees or the external member of the IVC college-level RTP committee). Although it is advantageous and preferable for the faculty members to be physically present at meetings, there may be times when the committee needs to set up video- or tele-conferencing.

Q. What about voting by proxy?

A. For personnel decisions, such as performance reviews or searches, no proxies are permitted. If a committee member is not present for debate over issues, his or her vote would not be an informed vote. Since recommendations require a majority of the entire membership of the committee (not the members present) to pass, when a member is not present, their vote effectively counts as a negative. Therefore, it might be best for that person to resign from the committee before the vote. However, if a department's practice is for an elected search committee to bring its recommendations to the entire department for approval, the department does not constitute "a committee" and a majority of those tenured and probationary faculty members present may suffice to carry the day. Remember, though, the department can only request that the search committee reconsider its recommendation, not substitute a new one.

Q. Must committee members be full-time faculty?

A. One welcome change in the new CBA is that the term "full-time" has been removed in the article on evaluation (performance reviews and periodic evaluation). All tenured faculty, no matter their time base, may serve on personnel committees.

Q. What are the voting rights of participants in the Faculty Early Retirement Program (FERP) and what service can they perform?

A. This is a somewhat complicated issue. According to the CBA, a FERP participant "shall, for the period of active employment, be deemed a tenured faculty employee. Such a participant shall be eligible to serve on governance committees whose assignments are normally completed during the period of employment." The CBA also says that, at the request of the department, the President may permit FERPing faculty to serve on peer review committees for the purpose of evaluation. The President has approved this provision, so department and schools may include them, according to department policy.

But what about FERPing faculty members who teach 100% one semester only? "Governance" certainly refers to those committees constituted under the provisions of the CBA (for evaluation and appointments). Does it also refer to what we consider "shared governance," i.e., Senate committees and departmental or college policy committees? That would seem to be outside the scope of collective bargaining. Therefore, it would be up to the Senate to determine the condition of membership on its committees, and the prerogative of departments and colleges to allow FERPing faculty members to (voluntarily) serve on committees that meet throughout the year. The same is true for voting rights during the semester in which they are not actively employed.

However, for those committees that are defined by the CBA, the language above must rule. FERPing faculty may serve on peer review committees constituted for

the purpose of evaluation or hiring only if the work of the committee is normally completed during the semester in which they are employed. This language seems to provide a little flexibility. For example, departmental RTP committees normally complete their work in the fall semester, so a fall FERPing faculty member may serve on them. Occasionally, the committee might be required to meet or confer during the spring, for example, to consider a late-add item. But that is not normal, and therefore would not prevent the faculty member from serving. It is also possible that a search committee might complete its work during one semester, even if one or two tasks or meetings remained for the semester in which the FERPing faculty member was not actively employed. But if the work of the committee is spread out during the academic year, a one-semester FERP should not serve on it. And, a department or school that does not wish to have FERPing faculty serve on peer review or search committees need not elect them. Finally, FERPing faculty members only have voting rights on personnel matters during their semester of active employment. This might mean that someone participates in a search throughout the fall semester but is not able to vote on the final candidates in the spring. That might seem unfair, but the CBA makes it clear that FERP participants are to be considered tenured faculty only during the semester they are actively employed.

Incidentally, FERP participants have the same obligation as all other faculty to provide service during the semester(s) in which they are employed.

- Q. Do “retired annuitants” have the same rights as FERP participants?
- A. Faculty who have taken a full service retirement, or who have completed the maximum five years in FERP, and who are rehired to teach are called “retired (or rehired) annuitants.” They can only be rehired as lecturers (following the order of hire laid out in Article 12 of the CBA), and have the voting rights and service eligibility of lecturers, no matter how long they taught as tenured faculty members.
- Q. What are the voting rights of SSPARs?
- A. SSPAR stands for Student Services Professional, Academic Related. It is a Unit 3 classification that includes counselors and other student service professionals, as well as several individuals in the College of Sciences whose positions blend academic and technical skills. Counselor SSPARs in the Division of Student Affairs are represented in the Senate (University Service), and form their own personnel and search committees according to the provisions of the CBA. SSPARs in the College of Sciences function as members of departments or the college as a whole, and may serve on and vote for appropriate departmental committees, including search committees. The one difference for these SSPARs is that, by prior practice, a special SSPAR peer review committee is formed at the departmental and college levels to conduct performance reviews and periodic evaluations. SSPARs vote for the peer review committees that evaluate them,

but do not serve on or vote for other departmental or college peer review committees formed for the purpose of evaluation.

Q. What are the voting rights of faculty with joint appointments?

A. Faculty with true joint appointments (as differentiated from faculty who hold a tenure line in one department or school and a partial teaching assignment in another) vote in the department in which they hold their majority appointment. In the very rare case of a faculty member with a 50/50 appointment, voting rights would be determined on a case-by-case basis. Similarly, jointly appointed faculty members serve on committees constituted for employment issues (evaluation and appointment) in their majority department.

Q. What about faculty members at the Imperial Valley Campus?

A. IVC faculty members hold joint appointments in an academic department on the San Diego campus. They should have full voting rights in that department to the extent that they participate in its activities, and can serve as members of its committees. According to the PF, they serve on college committees (including RTP) only as external members and on university committees and councils as members for IVC, and do not participate in San Diego campus college-level elections to the Senate.

Q. Can faculty members who are not going to be around the next year—because of retirement, resignation, or terminal year—be allowed to vote on matters that will take effect after they are gone?

A. Yes. They remain full members of the faculty until the day they separate from the university.

Q. Do GAs and TAs have any voting rights? Can they serve on department committees?

A. The Unit 11 CBA does not define any voting rights for GAs and TAs. A department may extend the right to vote or serve on departmental committees addressing non-faculty-employment matters. For example, GAs and TAs (or all graduate students) may elect representatives to serve on graduate admission committees or (in a non-voting status) search committees.

Appendix VI

ACADEMIC YEAR CALENDAR

Note: This compendium calendar does not include specific dates. Please check with the appropriate university office or division for detailed calendars and timelines. The purpose of the Academic Year Calendar is to provide chairs with a broad overview of when key job responsibilities must be met.

JULY

July	Summer orientation for new first-year students.
Late July	Spring initial class schedule building open to Colleges/Departments. Closes nine weeks later. Departments have first three weeks; Colleges have entire nine weeks.

AUGUST

August 1	Departments submit Fall ATFs for lecturers, TAs, and GAs.
Mid August	Faculty Affairs distributes Promotion Eligibility and Non-Tenured Lists and RTP packets (timelines, instructions, procedures).

SEPTEMBER

Late August/early September	University Convocation. New Student and Family Convocation.
Late August/early September	Departments elect Departmental peer review (personnel) committees and College peer review committee representatives if not elected late spring semester.
Late August/mid September	Departments sent General Catalog and Graduate Bulletin copy to update faculty listing. Due 10 working days later.
September 1	Departments submit Fall ATFs for tenured/tenure track faculty
Mid September	Faculty Verification and Assigned Time Reports due.

Late September	Spring schedule proof material distributed to Deans and Departments.
Late September	Faculty submit applications for Sabbaticals/DIP Leaves to Department Chairs.
Late September/early October	Spring online system open for Colleges/Departments to do proof updating. System closes 5 days later for Departments.
OCTOBER	
October 1	Deadline for LWOP faculty to inform Chair of intent to return from leave for Spring semester.
October 1	Admission application filing period opens. Closes November 30.
Early October	All candidates undergoing a performance review for reappointment, tenure, and promotion must submit their Working Personnel action File (WPAF) consisting of the Personnel Data Summary (PDS) and One-of-a-Kind file to departments for the validation process. Departments forward copies of all PDS covers sheets to the Dean's office.
Early October	Validation process complete with signature to College RTP representative.
Early October	Faculty submit applications for University Grants Program awards to Deans.
Early October	Fall Supervision Reconciliation material to Departments.
October 15	Faculty submit sabbatical reports to the Provost for sabbaticals taken in the previous academic year.
October 15	Departments submit learning outcomes assessment report (Fall deadline)
Mid/Late October	Reappointment and tenure recommendations for 1 st and

2nd year probationary candidates undergoing a performance review are sent from Department committees and Department chairs to candidates. Candidates have 10 days to submit response/rebuttal before WPAFs are forwarded to college level of review.

Mid/Late October

Closing date of the WPAF for 1st and 2nd year probationary candidates undergoing a performance review. Late add items to be submitted to Faculty Affairs for Late-Add Committee to review.

Mid/Late October

Closing date of WPAF for files for third and subsequent year probationary faculty and all candidates for promotion.

Mid/Late October

Fall Preliminary FAD to Departments.

Late October

Reappointment and Tenure recommendations for 3rd and subsequent year probationary candidates and all promotion candidates undergoing a performance review are sent from Department committees and Department chairs to candidates. Candidates have 10 days to submit response/rebuttal before WPAFs are forwarded to College level of review.

NOVEMBER

Early November

Spring class schedules available online.

Late November

Printer's Copy of General Catalog and Graduate Bulletin forwarded to Departments for review. Due 10 working days later.

Late November

Thanksgiving vacation.

DECEMBER

December 1

Departments submit Spring ATFs for lecturers, TAs, and GAs.

Early December

Colleges submit draft of Summer class schedule to Academic Affairs with copy to Enrollment Services.

Early December

Sabbatical leave decision letters mailed to applicants.

Early December	Fall Assigned Time Evaluation reports to Departments.
Mid December	UGP awards announced
Mid December	FINAL EXAMS
Mid December	GRADES DUE FROM INSTRUCTORS
	WINTER RECESS

JANUARY

December/January	College committees offer to meet with Department committees if promotion recommendations differ. Meetings take place before College committees distribute letters to candidates.
January 1	Departments submit Spring ATFs for tenured/tenure track faculty.
Early January	Departments forward Fall Assigned Time Evaluation reports to Deans.
Early January	Spring Faculty Verification and Assigned Time report to Department.
Mid January	Faculty undergoing a periodic evaluation turn in review material to Departments.
Late January	General Catalog and Graduate Bulletin galley proofs forwarded to Departments for final review. Due 5 working days later.
Late January	Deadline for promotion candidates and 3 rd and subsequent year probationary candidates to submit late-add items to Faculty Affairs for consideration by the Late-Add committee. Candidates receiving a terminal year recommendation have until late March to submit items.

FEBRUARY

Early February	Summer initial system open for Colleges/Departments
----------------	---

	to do initial schedule building.
Early February	Spring Faculty Verification and Assigned Time Reports due.
Mid February	Fall initial class schedule building open to Colleges/Departments. Closes nine weeks later. Departments typically have first three weeks; Colleges have entire nine weeks.
February 15	Provost announces final reappointment decisions to all 1 st and 2 nd year performance review candidates.
Late February	Spring Supervision Reconciliation materials to Departments.
Late February	Alumni Award nominations due to Faculty Affairs.
MARCH	
March 1	Admission letters sent.
Early March – Mid April	Curricular proposals from Departments for ensuing year are due approved and in final format from the College Dean to Curriculum Services. NOTE: Actual due date for Departmental submission to College Dean's office varies depending upon College level review time frame. Deadlines rotate for each College annually.
Mid March	Summer class schedule proof material distributed to Colleges/Departments.
Mid March	Late-add deadline for 3 rd and subsequent year probationary faculty receiving one or more terminal year recommendations to submit items to Faculty Affairs.
Mid/Late March	Spring Preliminary FAD distributed.
March 20	Periodic evaluation letters due to the Office of Faculty Affairs for full-time temporary faculty, tenured faculty, and probationary faculty in the first year of a two-year appointment and the first and second year of a three-year appointment. Periodic evaluation letters for part-

time temporary faculty shall be filed in the official PAF in the Department office.

APRIL

April 1 Deadline for LWOP faculty to inform chair of intent to return from leave for Fall semester.

April 1 Departments submit learning outcomes assessment report (Spring deadline)

Early April Lecturer range elevation applications due to Departments.

Early April Summer Class Schedules available online.

Mid April Fall online system open for Colleges/Department to do proof updates. System closes five days later for Departments.

Late April Alumni Awards announced.

Late April Spring Assigned Time Evaluation Report forms distributed to Departments and IVC.

MAY

May 1 Intent to Enroll letters due.

Early May Fall class schedules available online.

Mid May General Catalog and Bulletin of the Graduate Division on sale.

May 15 Departments submit ATFs for all summer sessions.

May 15 Provost announces final reappointment, tenure, and promotion decisions to all performance review candidates.

Mid May FINAL EXAMS

Mid May	Commencement.
Late May	Grades due from Instructors.
Late May	Departments forward Spring Assigned time Evaluation reports to Deans.
JUNE	
June	Summer orientation for transfer students.