

# **Department Chair Handbook**

**Policies and Procedures in the  
College of Liberal Arts and Sciences**

**2009-2010**



**Portland State**  
UNIVERSITY

# Department Chair Handbook

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Note: This Department Chair' Handbook is primarily designed for CLAS department chairs and program directors. Although it refers to department chairs, it is also designed for directors of programs or other units within CLAS. It may also be useful to faculty and staff who are not chairs or directors, and to faculty and staff who are in other schools or colleges.

*An online version of the CLAS Department Handbook with active links to many of the forms and policies cited in this document is available at <http://www.pdx.edu/clas/chairs-handbook-home>.*

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# I. Department Chairs: Duties, Responsibilities, and Selection

## Introduction

Chairs are administratively responsible for their departments or programs. This means, among other things, that they are responsible for the unit's budget, for providing direction to faculty and staff and evaluating their performances, and for seeing to it that the unit adheres to university, college, and departmental rules and regulations. It is the chair's responsibility to provide leadership to the faculty, staff, and students in the department, leadership that will help them reach their potential for excellence in teaching and learning, research, and service. University leadership is inherently different than leadership at other types of institutions. Chairs cannot simply order faculty or students to do things, but must lead by building consensus and trust through collaborative decision-making. Being a chair is also a busy job, and administering the department should be a chair's highest priority.

**Note:** This document uses the word "chair" to mean department head or program director. All units in CLAS that offer courses and have tenure-track faculty, whether officially a department or not, should have by-laws that include, among other things, a process for electing the chair.

## Chair Responsibilities

*Budgeting:* The Chair develops budget requests in consultation with the dean, and is responsible for managing the departmental budget.

*Recruiting and Hiring:* The Chair directs the recruitment and hiring of new faculty members and recommends appointments to the Dean.

*Promotion and Tenure:* The Chair recommends to the Dean all personnel changes, including salary, tenure, promotion, and rank.

*Scheduling:* The Chair is responsible for determining teaching assignments and the arrangement of teaching schedules.

*Enrollment:* The Chair is expected to monitor enrollment and work to meet departmental enrollment goals.

*Student Advising:* The Chair is responsible for overseeing departmental student advising.

*Curriculum:* The Chair recommends course and curricular proposals developed within the department for approval by the Dean and other appropriate officers and committees.

*Office Management:* The Chair is responsible for all aspects of departmental office management, including inventory and control of departmental equipment and supplies, fiscal activities, and supervision of clerical support personnel.

## Some thoughts about Departmental Leadership

**Department morale.** Department chairs have a major influence on departmental morale. With inevitable exceptions, departments will reflect the optimism or pessimism of the chair. Faculty, particularly young faculty, as well as staff, will take their cues from the chair. The best department chairs are those who have positive attitudes, not those who wallow in self-pity and believe themselves the victims of forces beyond their control.

**Recognize accomplishments.** Most people appreciate being recognized for doing a good job. Recognize the accomplishments of faculty, staff, and students privately and publicly. Let the department know when a faculty member publishes an article, gets a grant, or makes an important presentation.

**Information.** Share information, important dates, and good news with the faculty and staff. A department e-mail distribution list is a convenient way to get the word out. E-mail is an easy way to re-send items about which faculty should be informed. Faculty and staff should almost always know about important departmental decisions and the rationale for these decisions. The operation of the office should be transparent, and transparency is accomplished by providing faculty and staff with information.

**Regular department meetings.** Generally, it is wise to schedule a faculty meeting at least once a month. Often, faculty complain about meetings, but you risk far greater ire if you do not meet with your colleagues on a regular basis. Department meetings are an opportunity for you and the faculty to communicate with each other face-to-face. One-on-one meetings are fine, but there is no substitute for meetings in which discussions can take place among all the faculty. It is also wise, if not essential, to keep minutes for departmental meetings and to send them to all department faculty and staff. And, of course, keep a file of past minutes: invariably, questions will be raised about decisions made during a meeting. Minutes from departmental meetings are also useful for archival purposes and as a reference source if or when there are questions about departmental policy.

**Share administrative responsibilities.** Departmental service is expected of all academic personnel. Sharing administrative responsibilities with your academic personnel lessens the burdens of the position for you and also improves faculty understanding of the complexity of administration. Effective department heads are able to delegate!

**Keep the Dean informed.** Tell the Dean's Office about departmental accomplishments, including those of both students and faculty. Frankly, departmental prestige is an important factor in budget allocations, faculty awards, etc., and prestige is based upon faculty and student achievement. It pays to advertise accomplishments.

Moreover, the Dean's Office should be kept informed of problems, real or potential. If the Dean's Office has a heads-up on a potential problem, we may be able to work with the department chair to resolve the problem before it gets out of hand. The associate deans are always available to meet with chairs, and each chair has a standing monthly appointment with the Dean. You should always make that appointment and use the opportunity to discuss issues in the department.

**Records management.** You should keep a copy of relevant letters, memos, notes, student complaints or complements, and emails from the dean and other university officials. Keep a hard copy of any and all agreements with the dean. Obviously documents relating to personnel decisions should be filed. The Oregon University System's archiving policy is available at <http://www.ous.edu/archives/schdmain.html>. It specifies what you should keep copies of and for how long, and how to dispose of sensitive documents.

### **Selection of Department Heads**

CLAS chairs and directors are appointed for three years, with appointments typically starting on September 1 and ending three years later. The authority of departmental faculty to elect their department chairs and the process by which this election takes place is prescribed in Section 4, Article III of the Constitution of the Portland State Faculty Senate. This is included in the [Faculty Governance Guide](#). Departmental by-laws may further delineate the chair selection process for individual departments. In addition, CLAS strongly recommends that chairs be senior members of the department, be tenured, and have experience in faculty governance. The essence of the chair election process is as follows:

- Chairs are elected for three-year terms;
- They can be reelected for additional three-year terms subject to departmental by-laws;
- Departments have the authority to elect their chairs and to use their own procedure, as long as the chair election procedures are specified and have been approved by the full-time members of the department in a secret ballot;
- Any changes in the departmental chair election procedure must be implemented by April 15th of the department chair's third term;
- After electing a new chair, or reelecting a sitting chair, the department submits its choice to the Dean, who will then send it to the Provost, who will consequently send the recommendation to the President. The Dean and the Provost may comment on the department's selection, but they may not change the selection. The President will then approve the choice or ask the department to try again. The Dean and the Provost may add alternative names, but the original choice of the department must also go forward. Ultimately the department chair serves at the pleasure of the President.

### **Compensation**

For departments with more than five faculty, the chair assignment is .5 FTE on an 11-month basis. This means that the chair receives two months of summer salary and a .5 release from teaching during the academic year, usually one course each quarter.

For departments with fewer than five faculty, the chair receive a .33 FTE release on a 10-month basis. This means that the chair receives one month of summer pay and a 2-course release during the academic year.

### **Chair and Director Reviews**

In the early spring of each year, all university administrators are evaluated based on their job performance, including department chairs and program directors. The evaluation process has a number of steps.

- In the first stage of the review, the department chairs and program directors write a self-evaluation detailing their administrative accomplishments over the past year, goals that they have not yet accomplished, and the resources they need to be successful. This self-evaluation is sent to the Dean's Office.
- After the initial self-evaluation, a member of the Dean's Office (usually an associate dean or the Dean), conducts an interview with the individual chair or program director.
- Based on the self-evaluation and interview, the Dean's Office then writes an evaluation of the chair or director.
- Chairs and directors may ask to review their evaluations if they so choose.
- When this review process is complete, all of the material, including the self-evaluation and the evaluation from the Dean's Office, become part of the chair or director's personnel file.

It is the goal of the Dean's Office that these evaluations be honest and helpful so that chairs and directors have a good idea of what they are doing well, as well as clearly identified areas for improvement.

### Evaluation and Removal

If a chair is not properly fulfilling his or her responsibilities, the Dean's Office may conduct a midterm evaluation of the chair's performance. If this evaluation finds serious problems in the chair's performance, the Dean may request permission from the President to remove the chair. The Dean may, in consultation with the Provost's Office and the President, appoint an interim chair until the problems are resolved.

### Department Chair Checklist

This is a check list for new department chairs. This list includes information all departmental chairs should know when assuming the role as the leader of their unit. Most of this information will come from the outgoing chair or director, but it may be necessary to contact members of the Dean's Office or other University officers for information about some of these items.

<b>Faculty Issues</b>	Check	Date
Where is each tenure track faculty member in their promotion and tenure schedule? That is, when does each of the department's faculty members come up for tenure, promotion, and peer-review?		
Where is each fixed-term faculty member in their promotion schedule?		
Are there any special or unusual contractual agreements with faculty members regarding their tenure and promotion? For instance, have any faculty members been given credit for prior service or has their tenure clock been altered for some reason?		
Do you have a copy in the office of every faculty member's current CV?		
<b>Development and Fund Raising</b>		
What is the department's development or fund raising plan?		
What departmental development efforts are on going?		
Are there important donors, contacts, or other relationship that need to be maintained or pursued?		

What kind of development activities does the department conduct on a regular basis, i.e. newsletters, receptions, etc.?		
<b>Curriculum and Course Scheduling</b>		
How does the course scheduling process work?		
How does the department decide who teaches what?		
Are all faculty teaching their contractual load?		
What are the deadlines for the course schedule each term?		
Who in the unit actually does the scheduling? (You are ultimately responsible.)		
Do you have a list of available contingent faculty that can be used for extra sections or when regular faculty are not available to teach? (You should have a backup list of potential adjunct faculty that could teach is needed. This list should include their terminal degree, area of expertise, and the classes they could teach.)		
<b>Budgeting</b>		
Have your reviewed the Department's budget with the CLAS CFO?		
What does the department budget look like? That is, what is the unit's total budget, how is it allocated, how much is from exhibit A, how much from the Dean's fund, and how much from other income?		
What index numbers does the department have and what are their purposes?		
Who does the purchasing for the department?		
Do you have a departmental credit card and who controls it?		
<b>Assessment</b>		
What is the department's assessment plan?		
Who is responsible for assessment?		
How often do you conduct assessment? Each term, annually...?		
How is the assessment information used in reviewing and restructuring courses and programs?		
<b>Advising</b>		
What is the departments advising plan?		
Who is responsible for advising at the graduate and undergraduate levels?		
What is the department doing to increase student retention and graduation rates?		
Do you have an advising webpage?		
<b>Office Staff and Office Functions</b>		
Is your office properly staffed?		
Does the office staff understand what their roles are and do you?		
Does the office keep regular office hours, which is from 8 to 5?		
Who covers the office during the lunch hour and other times when the office staff might be absent?		
<b>Grants and Contracts</b>		
What grants and contracts do faculty members in the department have?		

Who is responsible for the budgets of these grants or contracts; the PI, the Department, you?		
What new grants or contract proposals are in the works?		
<b>Enrollment Management</b>		
What are your department enrollment targets for the year and what mixture of courses will you use to meet these targets?		
What are the trends in department's enrollment in the last five years? Is your enrollment increasing, decreasing, or changing in other ways?		
Where do you expect your enrollment to be in five years?		
<b>Student Success</b>		
How many majors do you have and how many graduate each year?		
What steps has the department taken to increase retention and graduation rates?		
<b>By-Laws</b>		
Does the department have up to date by-laws?		
Does your department have up to date promotion and tenure procedures?		
Have these by-laws been approved by the Dean's office and by OAA?		
Does every faculty member have a copy of the by-laws?		

## II. Departmental By-Laws

### Introduction

All departments are required to have up-to-date by-laws that describe the basic departmental procedures and governance. These by-laws must be approved by the Dean of CLAS and the Provost, and be on file in both of these offices. These by-laws are not only important to the regular functioning of the department, but are also increasingly being challenged in personnel grievances and court actions. It is therefore of vital importance that departments have up-to-date, appropriate, and officially approved by-laws, and that the by-laws are followed, particularly in personnel decisions.

Note: Departments use different names for their by-laws. Some refer to them as the Departmental Constitution, or Faculty Governance Rules, or other names. In addition, some departments separate their governance by-laws from the rules for promotion and tenure.

### Required Components:

The following items must be in all department by-laws. These are procedures or rules that are required by the university or the college, and are proscribed by the Faculty Governance Guide, the AAUP-PSU Collective Bargaining Agreement, the University Tenure and Promotion Guidelines, and other university, college, or State of Oregon official rules or procedures. These include procedures for chair selection, procedures and guidelines for promotion and tenure, and procedures and guidelines for the annual review of fixed-term faculty.

### Election of Department Chairs

The process for the selection of the department chair is described in Section I - Department Chairs: Selection and Duties and is repeated below.

CLAS chairs and directors are appointed for three years, with appointments typically starting on September 1 at the beginning of the fall term and ending three years later. The authority of departmental faculty to elect their department chairs and the process by which this election takes place is proscribed in Section 4, Article III of the Constitution of the Portland State Faculty Senate, described in the Faculty Governance Guide. Departmental by-laws may further delineate the chair selection process for individual departments. In addition, CLAS strongly recommends that chairs be senior members of the department, be tenured, and have experience in faculty governance. The essence of the chair election process is as follows:

- Chairs are elected for three-year terms;
- They can be reelected for additional three years terms subject to departmental by-laws;
- Departments have the authority to elect their chairs and to use their own procedure, as long as the chair election procedures are specified and have been approved by the full-time members of the department in a secret ballot.
- Any changes in the departmental chair election procedure must be implemented by April 15th of the department chair's third term.
- After electing a new chair, or reelecting a sitting chair, the department submits its choice to the Dean, who will then send it to the Provost, who will consequently send the recommendation to the President. The Dean and the Provost may comment on the

department's selection, but they may not change the selection. The President will then approve the choice or ask the department to try again. Ultimately, department chairs serve at the pleasure of the President.

Departmental by-laws **must** describe how the chair is to be elected and the process for determining or altering the procedures for electing the chair. The departmental by-laws may add additional procedures and rules regarding the selection of the department chair, as long as they are consistent with and do not contradict the Constitution of the Portland State Faculty.

### **Promotion and Tenure of Tenure-Track Faculty**

All department by-laws must have rules and procedures describing the tenure and promotion process for tenure track faculty, as described in the University Promotion and Tenure Guidelines. These guidelines state:

The department as a whole shall establish its general guidelines, including the criteria to be used for recommendations for promotion and tenure, and shall ensure that these guidelines fulfill the minimum standards of the University guidelines, which have priority. The responsibility for evaluating and documenting an individual faculty member's performance rests primarily with the department. The criteria to be used for promotion and tenure must be consistent with university and college or school policy and must be formulated early to allow maximum time for making decisions.

Approval of departmental procedures and criteria by the Dean and Provost is required. If a dean disapproves of existing or newly revised departmental criteria, then he or she will submit both departmental recommendations and his or her objections or amendments to the Provost for resolution.

After approval by the Provost, the guidelines must be distributed to all members of the department faculty and to the academic Dean. Department chairs should distribute these guidelines to new faculty upon their arrival at Portland State University.

In addition, the University Promotion and Tenure Guidelines assume that each department has a promotion and tenure committee. This committee may be a standing committee, that is, a committee specified in the departmental by-laws to deal with promotion and tenure, or a committee appointed on an *ad hoc* basis. In either case, the formation of the committee must be described in the departmental by-laws. The guidelines state:

All recommendations for promotion and tenure originate with formally established departmental committees; for example, an elected advisory committee, or an elected committee on promotion and tenure. The department as a whole shall determine the composition of the committee and the method of selection of its members and chairperson. Student participation in the consideration of promotion and tenure is mandatory. When a faculty member has been involved in interdisciplinary teaching and/or research, the departmental promotion or tenure committee will include a faculty representative from a mutually agreed upon second department or program. The department chair must not be on this committee.

## Evaluation of and Promotion of Fixed-Term Faculty

The rules for evaluation and promotion of fixed-termed faculty are described in Article 18, Section 3 of the AAUP-PSU Collective Bargaining Agreement. Article 18 requires that all departments establish in their by-laws guidelines for the review of fixed-term instructional and research faculty, and guidelines for their promotion. These guidelines, as with the other required parts of departmental by-laws, must be approved by the Dean and the Provost. Departments should read Article 18 carefully.

**Annual Reviews of Fixed-Term Faculty:** Departments are required to establish and maintain in their by-laws guidelines for the review of fixed-term instructional and research faculty, which should include the following:

- Each department shall identify the departmental committee responsible for the review of fixed-term instructional and research faculty. This does not mean that departments must appoint a special committee just for this purpose, but may assign the task to an existing standing committee (for example, the departmental P&T committee).
- Departmental guidelines shall specify that at least one fixed-term faculty be appointed to this committee.
- For positions that are completely grant-funded, the grant PI and one fixed-term research faculty from the bargaining unit may serve in place of the review committee.
- The departmental guidelines shall provide a variety of evidence to be used in the review process. This evidence must include a personal narrative or self-evaluation and an annual report of relevant activities. For fixed-term instructional faculty, "departmental guidelines shall require the review of quantitative summaries of teaching evaluations and narrative reviews by departmental or other appropriate faculty of teaching materials and course materials." For research faculty, departmental guidelines shall provide for the submission of a narrative review from the principal research supervisor. Other material may be submitted.
- Departmental guidelines shall include the review of other responsibilities and duties at the university and professional service as described in the position description.
- The departmental review committee is expected to identify areas of strength and areas needing further development for each fixed-term faculty being reviewed.
- The review committee will make recommendations to the chair.
- These reviews are to be completed by March 15.

## Promotion of Fixed-Term Faculty:

Fixed-Term Faculty may be eligible for promotion from instructor to senior instructor or to assistant professor. Departments are required to establish guidelines and criteria for this process. Article 18 requires that:

- In no case shall the development of guidelines and criteria for promotion of fixed-term faculty be the sole responsibility of a single administrator;
- Guidelines shall be developed by an elected committee including fixed-term instructional and/or research bargaining unit members.
- Guidelines must be reviewed and approved by the dean and provost.

## Curriculum

The control of the curriculum of the University rests with the faculty. At the university level, the curriculum is the responsibility of the Faculty Senate and the Faculty Senate committees assigned to review and approve curricular changes. At the college level, the curriculum is the responsibility of the CLAS Curriculum Committee. At the department level, the curriculum is the responsibility of the faculty as a whole. Most departments have a curriculum committee and many have two; a graduate committee and an undergraduate committee. One way or another, departments must have in their by-laws a description of how curricular decisions are made, including the introduction of new classes or programs, the changing of major or minor requirements, and the elimination of courses or programs. This task may be assigned to a standing committee dedicated to that task, or to a committee that does a number of tasks.

## Suggested Components of Departmental By-Laws

### Department Membership

Almost all departments have a variety of types of faculty, include tenured faculty, tenure-track but not tenured faculty, fixed-term faculty, adjuncts, and graduate student TA's. In addition, in some departments outside members of the community may play a role in the department. It is not necessarily important that the departmental by-laws specify all of these ranks and status and what role they play in the department, although this would be useful, but it is important that departmental by-laws specify who participates in departmental governance, especially who is considered a member of the department, who votes, and in which decisions.

The Constitution of the Portland State Faculty defines faculty membership in Article II.

The faculty shall consist of the Chancellor, the President of Portland State University, and all persons who hold State Board appointments with the rank of professor, associate professor, assistant professor, or instructor, and whose full-time equivalent is at least fifty percent teaching, research, or administration at Portland State University. Unclassified members of Portland State University who are certified by the Provost to have academic qualifications sufficient to justify appointment at one of the above mentioned ranks and whose full-time equivalent is at least fifty percent teaching, research, or administration at Portland State University shall also be included in the faculty regardless of title. The University Faculty reserves the right to elect to membership any person who is employed full-time by the Oregon University System.

Departments have the ability to further define departmental membership and the roles and responsibilities of faculty of various rank and FTE. Departmental by-laws should, therefore, specify who is a member of the department and, if they wish, mechanisms by which persons not fitting the above definition of faculty may be afforded department membership. In addition, it is recommended that department by-laws state how the faculty of various ranks participate in departmental governance. Some departmental decisions are more important than others. It is strongly suggested that only tenure-track faculty vote on promotion and tenure decisions, chair elections, and on the hiring decisions of tenure-track faculty. Some departments may wish to have yet a higher standard. For instance, in some departments only the tenured faculty can vote on the promotion and tenure decisions.

### **Departmental Roles or Positions**

Some departments, especially larger departments, have additional administrative positions. These may include an assistant chair, a graduate advisor, an undergraduate advisor, or other such positions. The duties of these positions, how they are selected, and other descriptions of these positions should be described in the departmental by-laws. It is important to point out, however, that unless these positions are identified in the department budget as prepared by CLAS, there is no salary or other monetary compensation for these positions from the CLAS budget. If departments chose to grant those who take these departmentally defined positions course release time or other compensation available to departments, they must do so within the departmental budget limits and be able to meet the departmental enrollment goals.

### **Standing Committees**

Departments that have enough faculty members may consider specifying standing committees in the by-laws. The following is a sample of some of the standing committees some departments have. Whether or not any of these committees work in your department depends on its size, mission, and other factors.

#### Graduate Committee

Departments with graduate programs often have a graduate committee. This committee works with the graduate advisor, if the department has one, and performs such functions as graduate admissions, assigning graduate thesis or dissertation committees, preparing comprehensive exams, and in general overseeing the graduate curriculum.

#### Executive Committee

Some departments have an executive committee to meet with the chair to discuss issues of departmental governance and direction. The executive committee is constituted in a variety of ways. In some cases the executive committee is composed of senior faculty, while in others it is made up of the chairs of the standing committees.

#### Development Committee

This committee is assigned to raise money. This committee may work on its own or with the department chair to identify and cultivate potential donors, to put on events for the alumni or donors, and to work with the CLAS development officers to raise funds for the department.

#### Public Relations Committee

A public relations committee may perform some of the tasks of a development committee, but in addition, it makes the work of the department, including the faculty and the students, known to the community and to Portland State.

#### Curriculum Committee

The curriculum committee has the responsibility for the curriculum of the department. In departments with graduate programs, the graduate curriculum is often dealt with by the graduate committee. This committee should review and even initiate curricular changes, review the current course offerings for outdated or low-enrolling courses, and in general oversee the curriculum.

### Hiring Committee

Some departments have a standing hiring committee, while other departments create the hiring committee *ad hoc* when a hiring opportunity appears.

### Promotion and Tenure Committee

This committee is required by the PSU Faculty Constitution. Departments must have explicit rules for the formation of this committee when it deals with the promotion of tenure-track faculty. However, departmental by-laws vary regarding who does the annual reviews of tenure-track or fixed-term faculty, who evaluates classified staff, and who does third-year reviews. These tasks can be assigned to the Promotion and Tenure Committee, or be done by the chair or another committee.

### **Departmental Meetings**

Another item the by-laws might include is a section on departmental meetings. This section could include how often meeting should be held, who can attend, how the meetings are called, and how the meetings are run (i.e. Robert's Rules of Order, consensus, or other rules of meeting procedure). Also, some departments have in their procedures that an agenda must be prepared and passed out before a meeting can be called. As a caution, the Dean's Office suggests that departments not write rules that tie the department to specific procedures or schedules that might become burdensome, but rather specify preferred or recommended procedures that are more flexible.

### **Student Roles**

Another item that could be included in the by-laws is how the department deals with students. This could include the role of students in departmental governance, student clubs and honor societies, and student advising. Students are often eager to participate actively in departmental affairs and can provide useful input in departmental committees.

### **Chair Impeachment**

It is probably wise to have a clause in the by-laws that allows for the removal of the chair, and maybe the removal of other leaders. Most departments have effective and responsible chairs, but remember that by-laws are written for times when things go bad. It is always wise to have procedure on which everyone agrees for the time that, hopefully, will never come. The procedure to remove a chair should include rules regarding how a removal decision might arise, how the department will meet and vote, and how an interim or temporary chair will be selected.

## III. Hiring Faculty

### Introduction

The opportunity to hire new faculty can arise for several reasons. For tenure-track positions, the most common is through retirements, although open positions also occur when new positions are added to departments that are growing or are developing new programs. New fixed-term instructor or adjunct positions can also be necessary when faculty retire or leave the University, but are usually created to staff class sections or to fill other needs. It should also be noted that not all retirements are replaced within the department or unit in which the retirement takes place, since the administration made chose to move the open position to another department or unit with greater need or, in times of budget reductions, to eliminate the position to save money. There must be funds available in the departmental budget before any new hire can be made. All tenure-track hiring must be approved by the Dean's Office before applications to hire are made.

### Tenure-Track Positions

The hiring process for tenure-track positions is long and complicated, and requires the approval of the Dean's office, the Provost's Office, the Budget Office, and the Affirmative Action Office at several stages. Departments are also expected to have their own written and approved hiring procedures that conform to the Faculty Governance Guide.

### The Department Responsibilities

The primary responsibility for hiring rests with the department. While the administration must approve budgets, beginning salaries, and expenses for recruitment, the academic departments ultimately know their field of study and are in the best position to make the hiring decision. The formal process by which the department proceeds with the search should be in the department's by-laws. In some departments hiring is performed by a standing committee, in others by an *ad hoc* committee.

Departments are advised to start the hiring process as soon as possible, ideally a year in advance.

### Getting Started: Things to think about.

**Subject area or focus:** Departments tend to think that they must replace kind with kind, but a retirement or new line can be seen as an opportunity to explore new areas or to move the department in a new direction. Remember that a job announcement that advertises for a very specific set of skills or expertise will limit the range and number of applications you receive. This may be desirable, but you may also be missing some good candidates by taking this approach.

**Departmental plan:** As the item above suggests, new hires should be in areas that are consistent with the department's developmental plan. That is, departments should know where they are going and the new hires should be in areas that support that plan.

**Rank:** Most new hires are at the beginning level, that is, an assistant professor who has just finished, or is finishing, her Ph.D. This may be desirable, since newly minted Ph.D.s bring much needed energy and new ideas to the department. However, there are situations in which faculty

with more developed skills or experience may be needed, either at the associate or professor level. It may even be desirable to bring in a senior faculty member to become chair of the department. In all cases, particularly when seeking to hire an external chair, there must be discussion with and ultimately approval from the Dean's Office, since these decisions have budget implications.

**Salary:** It is common practice not to include a specific salary in position advertisements, but to describe a salary range. A specific salary will eventually be agreed upon in negotiation with the candidate. In considering what salary range to list, the department needs to consider both internal and external factors. The internal factors include the current salary distribution of the department and, of course, what the Dean will allow (generally, the Dean's Office and OAA assume that retirements will be replaced with new assistant professors, producing salary savings for both offices). In deciding salary levels, most departments attempt to hire new assistant professors at a salary at or below the lowest paid faculty in the department. Doing so keeps current faculty from being upset and reduces salary compression. However, while this is the easiest solution, it is not always the best. PSU salaries are unusually low by any standards, and using our salary structure to determine beginning salaries may restrict the applicant pool. In addition, by continuing to hire at the lowest salary level, departments are perpetuating the low salary structure. External issues include market considerations. What will you have to pay to get a top scholar to come to Portland State University?

### **Hiring Steps:**

**Permission to Recruit:** Once the department has the OK from the Dean to proceed with a hiring, the department applies for permission to recruit. The permission to recruit form is available on the Human Resources website. To complete this form, departments must know the rank, salary range, starting date, FTE, title, position number, and where the salary for the new hire will come from. In addition, the form asks for a position description and a draft of the position announcement that will be used to advertise the job. A list of what needs to be included in the position description and the position announcement can be found on the Human Resources website. The form also asks for the names of the members of the hiring committee, the search chair, and the search coordinator. Also, the form asks the department to specifically identify an affirmative action outreach strategy to ensure that the search produces a diverse pool of candidates.

In addition to this information, OAA asks the department to answer a series of preapproval questions. These questions should accompany the permission to recruit form. The questions ask for a current departmental profile and about the role of this new position in the department's future.

The permission to recruit form then needs the signatures of the Dean, the Budget Office, Affirmative Action, the Provost, and Human Resources.

**Affirmative Action:** Human Resources will contact the department once the permission to recruit form has been approved to review the affirmative action process. At this stage the department may begin recruiting for the position. However, before any candidates apply, the Affirmative Action Office will contact the department to arrange a meeting to review the

affirmative action procedures. These procedures are listed on the Affirmative Action Search Process Check List and on the Affirmative Action Search Process Description.

There are three basic goals in the affirmative action process: promoting an affirmative search that reaches minority candidates, ensuring a diverse candidate pool, and making sure that the final selection process is done so as not to disadvantage minority candidates. These steps will be explained by the Affirmative Action officer that meets with the search committee, but, in brief, the Affirmative Action Office monitors the search process by collecting data cards (known as the blue cards) from each candidate.

#### *Portland State University Affirmative Action Employment Data Cards (Blue Cards)*

These cards are used to collect data regarding the ethnic and gender composition of the candidate pool. The data is then aggregated in the Search and Screen Report.

The search committee secretary obtains blank blue cards from the Affirmative Action Office and sends one to each applicant. **Prior to mailing the card, the search committee secretary must complete Section I at the top of the card.** Submission of the card is voluntary on the part of the applicant. Because of the confidential nature of the information submitted on the blue card, such as race, gender and disability status, the cards come from the applicant directly to the Affirmative Action Office by return mail and remain in the search files held in the Affirmative Action Office.

#### *Affirmative Action Search and Screen Report*

The Search and Screen Report is available on the Human Resources website.

After reviewing applications, the Search Committee must complete the Affirmative Action Search and Screen Report *before* inviting candidates for the interview. This report summarizes outreach efforts to minorities and women and provides information about the ethnic and gender composition of the candidate pool. With this information, the Committee Chair and the Affirmative Action Director can assess whether the applicant pool is reasonably representative of available ethnic minorities and women. The committee may reopen recruitment if a satisfactory pool is not achieved.

To complete the Search and Screen Report, the search committee chair or search committee secretary completes Part A of the report and attaches an **alphabetized** list of all applicants for the position, indicating with a check mark which applicants met the minimum qualifications, and noting which applicants the Committee wants to interview. The Chair signs the report and submits it with attachments to the Affirmative Action Office. Affirmative Action staff will use information provided on the Employment Data Cards to complete Part B (the data section) of the Search and Screen Report. Once the data section is completed, the Affirmative Action Director will review the report.

If there are no women or people of color in the group of candidates to be interviewed, the Affirmative Action Office may request that the search committee reconsider other dossiers in the pool and select additional candidates to interview, unless it is clear that there are no qualified candidates available who are women or people of color.

When the Director signs the Search and Screen Report, the committee may proceed with interviewing candidates. **EXCEPTION:** If the position is tenure-related in an area reporting to the Provost, the Dean must first meet with the Provost to discuss final candidates before inviting them to interviews.

### **Affirmative Action Hiring**

The Affirmative Action Hiring Report is available from the Human Resources website.

Upon selecting a final candidate, the committee or department completes the Affirmative Action Hiring Report. The Affirmative Action Hiring Report requires that the committee examine and report the selection decision and its choice of the final candidates in detail. It identifies who was interviewed, who was chosen to fill the position and describes the final selection criteria. The report also includes the ethnic and gender status of all interviewed candidates.

The Hiring Report is submitted directly to Affirmative Action after it is signed by the committee chair, and must be approved before any negotiations take place with the chosen candidate.

After the Hiring Report is approved, the search committee submits the Proposal for Appointment. The Proposal for Appointment names the Candidate selected and provides information for Budget and Academic Affairs.

### **Letters of Offer**

After a final candidate has been selected, the department may need to negotiate the salary and other starting conditions of the position. These conditions might include salary, teaching load, a start up package, space, TA's, expectations for promotion and tenure, prior service, labs, etc. The negotiator is generally the department chair, but in some cases others, for instance the hiring committee chair, may take on this task. Also, it may be necessary, especially if additional expenses are being negotiated, to seek the approval of the Dean's Office. After the agreement has been reached, two letters of offer are sent to the candidate. The first letter is the standard "boiler plate" letter that outlines the basic facts of the hire. Departments should always use this letter form, putting the specific information in the sections set off with brackets.

The more specific information is to be spelled out in the "second letter." This letter is usually considerably longer than the first letter and is intended to specify in as much detail as possible the specifics of the hire, including both what the new hire will get, i.e., office, start up package, teaching load, lab space, etc., and what the department expects from the new hire, i.e. publications, grants submissions, etc. This letter should specify what the candidate must do to receive tenure, and, if they are beginning as a new assistant professor, what the department expects of them by the third year review. All second letters must include a section that sets specific expectations for external funding applications, including the amount, and, in some cases, expectations that the new hire receive external funding before tenure will be granted.

The second letter should also make explicit other expectations of the job, including teaching, advising, committee work, and the like.

The second letter may also include prior service. Faculty who have taught at other institutions of higher learning may request that they receive credit for some or all of those years. Prior service may be granted, but it should be done carefully. No more than three years of prior service should be granted. All sides should remember that prior service counts towards tenure. Therefore, a new faculty who is given three years of prior service will come up for tenure after three years at Portland State University.

Both letters must be approved by the Dean's Office before they are sent to the candidate.

## IV. Faculty Mentoring Program

### Introduction

It is natural for anyone entering a new environment to seek help from those who already “know the ropes,” so most junior faculty arriving at a new university will find their way to mentoring of one kind or another. But mentoring is so critical to the success and retention of new faculty that it should not be left up to chance. The CLAS Faculty Mentoring Program is intended as a regularized, systematic way of helping new faculty members adjust to their new environment. Whether the faculty member is new to academe itself, to the city of Portland, to the Portland State University campus, to CLAS, or to the academic department, assistance from a well-respected mentor can be an invaluable supplement to the guidance and assistance that a department chair provides during the early years at a new university. This program’s success depends on the new faculty members, their mentors and their department chairs all taking an active role in the acclimation process. An outline of the responsibilities of each of these roles is outlined below.

### The Responsibility of the Department Chair

As soon as the appointment is made, the chair assigns a mentor, usually a senior faculty member in the department, but in some cases someone from another unit. For faculty appointed at the rank of Associate Professor or Professor, assignment of a mentor is less critical, although highly encouraged, because it serves as a means of acclimating the new faculty member to Portland State. For faculty beginning their academic careers, however, the appointment of a mentor is critical. The chair is responsible for advising new faculty on matters pertaining to academic reviews and advancement. As the mentor may also be asked to provide informal advice, it is also the chair’s responsibility to see that mentors have current information on the academic personnel processes at both the College and University level. The departmental chair will report the name of the new faculty member and the name of the assigned mentor to the CLAS Dean’s Office by the second week of the term that the new faculty member joins the department (usually, but not always, fall term).

The chair should also monitor the new faculty member’s commitment to committee work and other service obligations, allowing the new faculty member to meet service requirements and become integrated into the community while at the same time not becoming distracted and overwhelmed by these obligations. Preventing over-commitment is an important part of mentoring.

### The Responsibility of the New Faculty Member

The new faculty member should keep his/her mentor informed of any problems or concerns as they arise. When input is desired, new faculty should leave sufficient time in the grant proposal and paper submission process to allow his/her mentor the opportunity to review and critique drafts.

### The Responsibility of the Mentor

The most important tasks of a good mentor are to help the new faculty member achieve excellence and to acclimate to PSU. Although the role of mentor is an informal one, it poses a

challenge and requires dedication and time. A good relationship with a supportive, active mentor has been shown to contribute significantly to a new faculty member's career development and satisfaction.

The mentor should contact the new faculty member in advance of his/her arrival at Portland State and then meet with the new faculty member on a regular basis for at least the first two years. The mentor should provide informal advice to the new faculty member on aspects of teaching, research and committee work or be able to direct the new faculty member to other individuals with the appropriate expertise. The mentor should also alert the new faculty member to the Center for Academic Excellence and the ways its activities support teaching. Often the greatest assistance a mentor can provide is simply helping the new faculty member identify which staff one should approach for which task. Funding opportunities both within and outside of the campus are also worth noting. For example, new faculty should have detailed knowledge of Faculty Enhancement Grants and Professional Travel Grants. The mentor should treat all interactions and discussions in confidence. There is no evaluation or assessment of the new faculty member on the part of the mentor, only supportive guidance and constructive feedback.

It is important to point out, however, that as helpful as the mentor's guidance and constructive feedback may be, the promotion and tenure process at both the Departmental level and the College level will be based on the faculty member's supplemental letter of hire and the facts of the case as it comes up for promotion and/or tenure review.

### **Qualities of a Good Mentor**

Accessibility – the mentor is encouraged to make time to be available to the new faculty member. The mentor might keep in contact by dropping by, calling, sending e-mail, or extending a lunch invitation. It is very helpful for the mentor to make time to read and critique proposals and papers and to provide periodic reviews of progress.

Networking – the mentor should be able to help the new faculty member establish a professional network. Networking might well extend to opportunities for collaborative teaching and research, team teaching, and interdisciplinary teaching, both for the intrinsic value of such work and because collaborative work is itself a form of mentoring.

Independence – the new faculty member's intellectual independence from the mentor must be carefully preserved and the mentor must avoid developing a competitive relationship with the new faculty member.

### **Goals for the Mentor**

#### **Short-term goals**

- Familiarizing the new faculty member with the campus and its environment, including Portland State's system of shared governance between the Administration, the Academic Senate, and the AAUP.
- Networking—introduction to colleagues, identification of other possible mentors.
- Developing awareness—help new faculty understand policies and procedures that are relevant to the new faculty member's work.
- Providing constructive criticism and encouragement, compliments on achievements.

- Helping to sort out priorities—budgeting time, balancing research, teaching, and service.
- Introducing the new faculty member to the resources of the city, if time permits.

### **Long-term goals**

- Developing visibility and prominence within the profession.
- Achieving career advancement.

### **Typical Issues Facing New Faculty**

- What are the department's formal and informal criteria for promotion and tenure? Who can clarify these criteria?
- How does one establish an appropriate balance between teaching, research and committee work? How does one say "no"?
- What criteria are used for teaching excellence? How is teaching evaluated?
- How does one obtain feedback concerning teaching? What resources are available for teaching enhancement?
- How does one identify and recruit good graduate students? How are graduate students supported? What should one expect from graduate students? What is required in the graduate program?
- What are the criteria for research excellence? How is research evaluated?
- What are the leading journals in my field? Have any colleagues published there? How should co-authorship be handled? What is the best way to get feedback on a publication in progress?
- How does one decide which conferences to attend?
- How does the merit and promotion process work? Who is involved?
- What committees should one be on and how much committee work should one expect?
- What social events occur in the department?
- What seminars and workshops does the department organize?
- How is the university organized?
- What responsibilities come with appointment to a particular college?
- What are the appropriate and accepted ways to raise different kinds of concerns?

### **Benefits for the mentor**

- Satisfaction in assisting in the development of a colleague
- Ideas for and feedback about the mentor's own teaching and scholarship
- A network of colleagues who have passed through the program
- Retention of excellent faculty colleagues
- Enhancement of department quality

### **Changing Mentors**

In cases of changing commitments, incompatibility, or where the relationship is not mutually fulfilling, either the new faculty member or mentor should seek confidential advice from his/her chair. It is important to realize that changes can and should be made without prejudice or fault. The new faculty member, in any case, should be encouraged to seek out additional mentors as the need arises.

# V. Annual Faculty Reviews, Promotions and Tenure, and Third-Year Reviews

## Introduction

Probably the most important responsibility of department chairs is the evaluation of faculty, whether for hiring, tenure, retention, promotion, or salary increase. These decisions are often complicated, in part because there are a number of faculty classifications or ranks, and different sets of review criteria, review processes, review dates, and collective bargaining agreements. Evaluations of faculty and the decisions that result from them are not only critical to the health and success of the department and the college, but also affect the lives and careers of the faculty members that are being evaluated. It is therefore of great importance that chairs understand the principles of the evaluation processes and the specific steps and timelines, as well as the larger issues involved in building and keeping a high-quality faculty.

Faculty reviews, evaluations, and promotions are also valuable components of faculty development. It is the goal of the College of Liberal Arts and Sciences to hire highly qualified faculty and to give them the opportunities they need to be successful in their careers. This means that we should also approach faculty evaluations and reviews as developmental tools, providing the chair, the department and the faculty members with feedback and input on their academic performance so that they can improve and perform their jobs better.

## Annual Reviews

All faculty above .5FTE, except those who have received tenure or multiple year contracts, must be reviewed on an annual basis. Tenured faculty should be reviewed every three years through the peer review process. It is recommended, but not required, that adjunct faculty, those below .5 FTE, be reviewed regularly as well.

## Tenure-Track Faculty

Tenure-track faculty who are not yet tenured serve on annual appointments and therefore must be reviewed each year. When and how to conduct annual reviews for tenure-track faculty is discussed on the CLAS website. These reviews may be done at the end of the academic year in spring, or in the fall of the following year. Annual reviews may be conducted by the department chair or the departmental P&T committee, according to the rules and procedures of the department. The annual reviews are for internal use only; that is, the department is not required to send a copy to the Dean's office, except in the case of the third-year annual review. It is, however, important that departments conduct annual reviews in a timely manner and have the reviews on file, in part because faculty deserve feedback on their performance and also because they are required by State and University regulation. The annual review, like all reviews, should be honest and helpful, discussing how the faculty member is doing in relation to his or her contract of hire, and evaluating the faculty member's progress towards tenure.

It must be stressed that annual reviews are a contractual obligation. Faculty members who have not received annual reviews may, and have, used the lack of reviews to successfully grieve denial of promotion or tenure.

### **Third-Year Reviews**

The third-year annual review of the tenure track faculty is especially important. This review should be conducted in the spring of the third year, although specific hiring contracts may specify a different review date. This review is seen as a "mid-term" evaluation of how a faculty member is progressing towards tenure and promotion. As such, the third-year review should specifically review the expectations of the faculty member as laid out in the supplemental letter of hire, and highlight where the faculty member has succeeded or fallen short of those expectations. The review should also, in as specific terms as possible, describe what the faculty member must do in the next three years to receive tenure and promotion.

If the department and the chair determine from the third-year review that a faculty member has not lived up to the agreements specified in the supplemental letter of hire, the department may choose to recommend termination of the faculty member at that time.

The third-year reviews are forwarded to the Dean's Office for review, and the Dean will meet with each faculty member reviewed. A third-year review checklist and the third year review signature sheet are available on the CLAS website.

### **Fixed-Term Instructional and Research Faculty**

The procedure, timing, and process for the annual reviews of fixed-term instructional and research faculty have been determined in collective bargaining with the American Association of University Professors and are described in Article 18 of the collective bargaining agreement. An electronic version of the current Collective Bargaining Agreement can be found at [www.oaa.pdx.edu](http://www.oaa.pdx.edu) under Reference Documents. Section 3 of this article outlines requirements for the regular review of fixed-term instructional and research faculty. Article 18 specifies that each department must have in place guidelines (approved by the Dean's Office and the Provost's Office) for these reviews. Department chairs should be familiar with Article 18. Several points are important to note.

- The Departmental Committee that conducts that annual review of fixed-term faculty must contain at least one member who is on a fixed-term appointment.
- The reviews are meant to be "developmental," i.e. the reviews should attempt to help fixed-term faculty develop their full potential, and are not meant as part of an "up-or-out" decision-making process.
- The reviews must be completed by March 15 of each year.

### **Promotion and Tenure**

#### **Tenure-Track Faculty Promotion and Tenure**

The criteria and procedures for the promotion and tenure of tenure-track faculty are specified in the Policies and Procedures for the Evaluation of Faculty for Tenure, Promotion, and Merit Increase. These guidelines were approved by the Faculty Senate in 1996. There have been minor updates or clarifications, but guidelines remain in effect. In addition, departments are required to have their own procedures and requirements for promotion and tenure that may expand on or supplement the University's guidelines. The University promotion and tenure guidelines specify what is meant by scholarship, how to determine its quality and significance, and how to evaluate it. These guidelines identify four areas in which faculty should be judged:

- Research and other Creative Activities
- Teaching, Mentoring, and Curricular Activities
- Community Outreach
- Governance and Professionally-Related Activities

A note on tenure: The decision to tenure usually takes place during the sixth year of full-time service, or the FTE equivalent thereof, although faculty members may be considered earlier if the department feels they are especially meritorious. In some cases, faculty with prior experience are allowed to come up for tenure or promotion after less than six years of service at PSU, if their prior service combined with their PSU service totals at least six years. It is important to note that **faculty who start their seventh year on the tenure track automatically receive tenure, whether they have been considered or not.** It is therefore important to make sure that all tenure-track faculty are considered for tenure before entering their seventh year of service.

### Academic Ranks

**Assistant Professor:** Appointees to the rank of Assistant Professor ordinarily hold the highest earned degree in their fields of specialization. Rare exceptions to this requirement may be made when there is evidence of outstanding achievements and professional recognition in the candidate's field of expertise. In most fields, the doctorate will be expected.

**Associate Professor:** A faculty member will not be eligible for consideration for promotion to Associate Professor until the third year in rank as an Assistant Professor. In the usual course of events, promotion to Associate Professor and granting of indefinite tenure are considered concurrently in the sixth year in rank as an Assistant Professor. Exceptions which result in the consideration for promotion immediately upon eligibility should occur only on the basis of extraordinary achievement. Length of time in rank is not a sufficient reason for promotion.

Promotion to the rank of Associate Professor requires the individual to have made contributions to knowledge as a result of the person's scholarship, whether demonstrated through the scholarship of research, teaching, or community outreach. High quality and significance of academic scholarship are the essential criteria for evaluation. Effectiveness in teaching, research, or community outreach must meet an acceptable standard when it is part of a faculty member's responsibilities. Finally, promotion to the rank of associate professor requires the faculty member to have performed his or her fair share of governance and professionally-related service activities to the University.

**Professor:** The rank of Professor is equivalent to the rank of Full Professor at other institutions. A faculty member will normally not be considered for promotion to Professor until the fourth year in rank as an Associate Professor. Exceptions will be made only in extraordinary cases. Consideration for the promotion immediately upon eligibility should occur only on the basis of extraordinary achievement. Length of time in rank is not a sufficient reason for promotion.

Promotion to the rank of Professor requires the individual to have made significant contributions to knowledge as a result of the person's scholarship, whether demonstrated through the scholarship of research, teaching, or community outreach. The candidate's scholarly portfolio should document a record of distinguished accomplishments using the criteria for quality and

significance of scholarship. Effectiveness in teaching, research, or community outreach must meet an acceptable standard when it is part of a faculty member's responsibilities. Finally, promotion to the rank of professor requires the faculty member to have provided leadership or significant contributions to the governance and professionally-related service activities of the university.

**Emeritus:** The Emeritus rank may be awarded upon retirement in recognition of outstanding performance.

### **Procedures for Promotion and Tenure**

The process for promotion and tenure is complicated and long. The following is a summary of the steps. Although there are specific procedures and deadlines set by the University, the College of Liberal Arts and Sciences has its own procedures and dates. Specifically, since the College has many cases to process each year, it starts the tenure and promotion process earlier, usually in the spring of the year before the decision is to be made. The CLAS promotion and tenure calendar dates are posted each year on the CLAS website. A checklist of all the items that must be part of the promotion or tenure file forwarded to the Dean's Office is also found on the CLAS website.

Some of the important steps include:

**Notification of Eligibility:** In May of the year before the promotion decision, the Dean's Office will send to the department chairs a presumed list of who is eligible for promotion and/or tenure. Department chairs are asked to review this list and, working with the Dean's Office, make a final determination of who is eligible for promotion or tenure the following year. The department chair should then notify the departmental promotion and tenure committee of who will be eligible. Faculty members on sabbatical or other approved leaves of absence are to be given equal consideration for promotion in rank with faculty members who are on campus.

**External Peer Review:** To substantiate the quality and significance of a faculty member's scholarship, a representative sample of an individual's scholarly work must be evaluated by professional peers from outside the university. The purpose of the external reviews is not to evaluate the candidate's service or contributions to Portland State University, but to evaluate the quality and significance of the candidate's academic scholarship in the profession at large. External peer reviews must be conducted for all recommendations for tenure and for promotion to associate and full professorships.

To select a set of external reviewers, the department chair will ask the candidate for a list of reviewers (at least four) from outside the University. The faculty member may also provide a list of possible reviewers perceived as negative or biased; although inclusion of a name on this list will not preclude a request for evaluation, the faculty member's exception will be included as a matter of record, if an evaluation is requested. At least three additional external reviewers will be selected by the department chair or the chair of the departmental promotion and tenure committee. The chair will send this list of six or seven potential external reviewers to the dean's office for approval. The dean's office may add names to the list. The chair of the department or the chair of the departmental promotion and tenure committee will select six external evaluators

from the combined list of outside reviewers. A sample letter of solicitation is provided in Appendix II. *(Please note: As suggested in the sample letter, evaluators should be advised that their evaluations are not confidential and will be available for the faculty member to read.)* Requests for external evaluations should include a copy of the University and departmental criteria for promotion and tenure.

The faculty member being reviewed, in consultation with the departmental promotion and tenure committee or the department chair, will prepare a packet of information regarding the candidate's academic scholarship to send to the external reviewers. This packet should include a letter of explanation from the chair, a copy of the candidate's curriculum vitae, a selection of the candidate's writing and scholarship, and, in some cases, a narrative written by the candidate describing her scholarly goals. This material should be completed by early summer, and the external reviewers should be asked to return their evaluation, usually a two or three page letter, by the fall. Upon receipt of the evaluations, the external reviews will become a part of the candidate's tenure and/or promotion file. A complete evaluation file must include at least three letters from external reviewers; six is preferred. In cases when promotion or tenure decisions are deferred, external evaluations may be used in subsequent considerations for a period of three years.

The external review letters and an external letter report should be included in the materials that are forwarded from the department to the Dean's Office as part of the tenure or promotion file.

**Departmental Promotion and Tenure Committee:** All recommendations for promotion and tenure originate with formally established departmental committees. The department as a whole shall determine the composition of the committee and the method of selection for its members and chairperson. For faculty members involved in interdisciplinary teaching and/or research, or those who have split appointments, the departmental promotion or tenure committee will include a faculty representative from a mutually agreed-upon second department or program. Since the department chair is required to make a separate evaluation of the department faculty, the department chair cannot be a member of the promotion and tenure committee. The committee may invite other faculty members to participate in its deliberations. This committee acts as an independent reviewer of the performance of departmental faculty and initiates recommendations for all department faculty except the department chair. Committee members being considered for promotion or tenure should not participate in the committee review of their cases.

**Student input:** Student input must be included in the promotion and tenure decision process. It is not required that students participate directly as members of the departmental promotion and tenure committee, although some departments do have students serve in that role. However, students generally find it intimidating to serve on faculty committees, and often do not understand the larger context in which these decisions are being made. Student input can better be obtained through teaching evaluations, forums, or other methods. The College of Liberal Arts and Sciences requires that all candidates for promotion and tenure include teaching evaluations as a part of their promotion file.

**Committee Decision and Narrative Report:** The Departmental Committee's report to the department chair should be in the form of a written narrative for each faculty member under

consideration. The report must address the following areas: contributions to knowledge as a result of the person's scholarship; effectiveness in teaching, research, or community outreach when it is part of a faculty member's responsibilities; and governance and professionally-related service.

Each member of the departmental committee must make one of four decisions about the candidate being considered, and the decision of each voting member of the committee must be marked on the recommendation form.

The choices are:

Ineligible: This decision is appropriate for faculty who do not have minimum time in rank or who are on fixed-term appointments.

Deferral: This decision is appropriate for faculty who have met the minimum time in rank to qualify for promotion, but who request not to be considered, and for faculty whose requests for promotion are not accepted. A request for deferral by a faculty member should not be accepted by the committee without consideration. The committee should indicate, in writing, that such a discussion was held. Deferrals for faculty who have requested evaluation for promotion must be accompanied by a written report.

Positive Decision: This decision is appropriate for faculty whose attainments warrant promotion and/or tenure. For faculty members recommended for tenure, the committee's evaluation report should consider all years being counted toward tenure, including years of prior service that have been extended to the faculty member in his or her original letter of offer. For faculty members recommended for promotion, the committee's evaluation should survey the faculty member's years at Portland State. Where a positive recommendation is being made, a written report following the format in Appendix II must accompany the recommendation form.

Negative Decision: This decision is appropriate for faculty on annual tenure when, in the committee's judgment, termination should be recommended. If in its review of a faculty member on an annual appointment, even within the first five years of such an appointment, the committee does not find that a faculty member is making satisfactory progress toward tenure, the committee may indicate a negative decision. Negative recommendation must be accompanied by a written report following the format in Appendix II of the Promotion and Tenure Guidelines.

**Department Chair Decision and Narrative:** The department chair must be satisfied that the departmental committee has followed the departmental guidelines and that the appraisals are complete and in proper form. The chair makes a separate written recommendation, adding her own written narrative to the committee's. The narrative must address the following areas: contributions to knowledge as a result of the person's scholarship, effectiveness in teaching, research, or community outreach when it is part of a faculty member's responsibilities, and governance and professionally-related service. It should also address the general expectations of your discipline's promotion and tenure guidelines and for the candidate in relation to these

expectations. If the recommendation of the chair differs significantly from the committee's recommendation, the chair shall state in writing the reason for specific difference.

**Notifying the Candidate:** The department chair should inform each faculty member in a timely manner, in writing, of the departmental committee's and of his or her own recommendations. Faculty members should be given the opportunity to review their files before they are forwarded to the Dean and Provost, and should indicate they have done so by signing the Appraisal Signature and Recommendation Form. A copy of the complete appraisal, and any additional material added by the department chair, should be in the file for review by the affected faculty member. The department chair must discuss with a faculty member, when requested, the reasons for the recommendations by the departmental committee and the department chair. If a department member questions either departmental recommendation, he or she may request a reconsideration of that recommendation.

**Procedures for Reconsideration of Department Decision:** Within two weeks of receiving written notice of department action, the faculty member must give written notice of intent to request a reconsideration of the recommendation. If the request is for reconsideration of the departmental committee recommendation, both the committee chair and the department chair must be notified and the department chair must return all appraisal materials promptly to the committee chair. Otherwise, only the department chair need be notified in writing.

The review may be requested on the basis of procedural or substantive issues. The faculty member should prepare whatever supportive material is pertinent. The supportive materials must be submitted to the committee chair or department chair, as appropriate, within two weeks of written notification of intention to request the reconsideration.

All materials submitted by a faculty member shall become part of the appraisal document. The departmental committee and/or department chair, as appropriate, shall consider the materials presented by the faculty member. The committee chair and/or department chair may attach to the appraisal additional documentation or statements with their recommendations. The department chair shall forward the appraisal, which shall then proceed through the normal administrative review procedure in a timely manner.

**Chair's Report to the Dean:** The department chair must submit the following to the dean: statement of assurance that all eligible faculty have been reviewed; recommendation forms for each faculty member; and the committee's and the chair's written narratives for all faculty members who have received positive or negative recommendation for promotion and tenure.

### **Promotion of Fixed-Term Faculty**

Fixed-term faculty are normally not eligible for tenure. However, they are eligible for promotion, for seniority status, and for multiyear contracts. The procedure for the promotion of fixed-term faculty is in Article 18 of the AAUP Collective Bargaining Agreement.

Fixed-term faculty may be at any rank, including those ranks held by tenure-track faculty, depending on their qualifications and their role in the department. There are also different ranks

for fixed-term teaching faculty than for fixed-term research faculty. The most common ranks for fixed-term teaching faculty are:

**Instructor:** Appointees to the rank of Instructor ordinarily hold an advanced degree in their fields of specialization or have comparable experience. An instructor at 0.50 or more is appointed for a period of one year, and may be reappointed. Normally persons appointed at the rank of Instructor are not eligible for consideration for promotion within the first year of their appointment.

**Senior Instructor:** The rank of Senior Instructor is used in those cases where the nature of the assignment requires special skills or experience in the instructional program, but does not warrant the rank of Assistant Professor, and in those cases where the performance of the individual could warrant the award of tenure.

**Promotion to Senior Instructor:** Instructors who have more than six years of continuous service at PSU are eligible for promotion to the rank of Senior Instructor. Such a recommendation should go through the same process as the promotion of tenure track-faculty, with the modification discussed above. Each department should have guidelines for promotion to senior instructor. These recommendations should follow the same deadlines as tenure-track recommendations.

**Assistant Professor (Fixed-Term):** Fixed-term faculty may be promoted to the rank of Assistant Professor, Associate Professor, or Professor. This may be appropriate in certain situations where a fixed-term faculty member holds a Ph.D. However, departments should use the same standards and procedures used for tenure-track faculty when recommending the promotion of fixed-term faculty to these academic ranks. Promotion of a fixed-term faculty to the rank of Assistant Professor or higher rank does not change their fixed-term status.

**Multiyear Contracts:** Fixed-term faculty with six years of continuous service can be considered for multiyear contracts. This status should be viewed as a meritorious status and the decision to grant this status should go through the same decision process described above. Fixed-term faculty who have been promoted to senior instructor are automatically eligible for multiyear contracts.

## Peer Review

### Background and Goals

Peer Review, also called Institutional Career Support, is a process through which faculty who have received tenure are reviewed. The details of the peer review program, including its justification and goals, are included in Article 16 of the AAUP-PSU Collective Bargaining Agreement. The intent of the peer review process is to encourage tenured faculty to remain productive by having a committee of their peers examine their career goals and accomplishments every three years, and make suggestions about how they might improve. In addition, a sum of money is set aside each year to give out to faculty who have been identified in the peer review process.

The stated goals of peer review, as taken from Article 16 of the PSU-AAUP Collective Bargaining Agreement, are as follows:

- To provide a positive and systematic process for career review and development planning, involving the member and a supportive group of peers;
- To provide institutional support for the realization of a mutually agreed upon professional development plan. Career review and planning will center on the individual's particular past and desired future contributions to the member's academic unit;
- To assure a balance between the personal commitment to specific goals on the part of the member, the institutional support necessary to help achieve these professional goals, and the goals of the relevant department as formulated by its faculty;
- To provide recognition for demonstrated high standards of professional, institutional, and public service;

## The Peer Review Process

### Review Committee

Each member holding tenure shall be assigned a review committee by the departmental chair, normally composed of three faculty members. The process for selecting this committee should be specified in the departmental by-laws.

### Procedures and Committee Responsibilities

The faculty being reviewed will first meet with the assigned review committee for an informal discussion concerning the member's work, professional needs, difficulties, and goals for future professional development. To promote maximum candor, no record of the substance of this meeting will be kept, and the discussion will be regarded as confidential. Prior to this first meeting, the member will furnish the committee a current resume and a narrative review of the member's past professional achievements and plans for the future.

- If the faculty member being reviewed believes that additional institutional support is important to his or her continued professional growth, he or she will notify the committee of this in writing within one week of the meeting. If the faculty member does not ask for support, the review committee will determine if the faculty member can reach his or her goals.
- If the faculty member has informed his or her committee of the need for additional support, or if the committee has determined that the faculty member's career goals and plans are unrealistic, then the committee shall notify the department chair that a

professional development plan will be presented to the department head on no later than December 1st.

- If the department chair has been notified that a professional development plan will be presented, then the individual under review will give the committee a brief written plan for professional activities and development over a specified period of years by January 15.
- After the review committee has received the plan, it shall meet again with the individual to determine a formal development plan and what reasonable special institutional support may be necessary to carry out the plan. This joint recommendation shall be sent to the department chair no later than February 15 of the year of eligibility. The department chair will forward this developed plan to the Dean's Office by March 1. The school or college office will forward the joint recommendation with an attached evaluation to the Office of Academic Affairs by March 15. The Office of Academic Affairs shall notify the faculty member being reviewed by April 1 about whether the institutional support requested in his plan will be provided. If the support required to carry out the plan is not provided, the individual will not be held responsible for failure to complete the plan. In this circumstance, the committee and the faculty member will determine jointly whether an alternative plan is feasible.
- During the period covered by the plan, the review committee, the department chair, the dean, and other persons able to provide help shall be available to the individual to provide all possible assistance, consultation, and advice. The person being reviewed will keep in touch with the assigned committee concerning progress made towards reaching the goals of the plan. Since, by its very nature, scholarly and creative work is unpredictable, an individual shall be free at any time to propose to alter, revise, supplement, or abandon a particular plan for professional development. The member should, however, obtain approval for any such change from the assigned review committee and department chair.
- At the end of the period covered by the professional development plan, the individual shall present the results or accomplishments of the plan to the review committee and other interested persons, including the department chair, in the most appropriate fashion.
- If, in the judgment of the majority of the review committee, the professional development plan has been successfully concluded, the review committee shall inform the individual being reviewed and the department chair in a statement signed by the members of the committee. A minority report of the committee may accompany this statement. A copy of the complete statements shall also be sent to the appropriate departmental committees dealing with pay and promotion. Based on its evaluation of the work done, the review committee may, at its discretion, include in its report specific recommendations to the department chair or appropriate departmental committees concerning promotion, merit pay, etc.
- If, on the other hand, the committee finds that the proposed professional development plan has not been completed within the period agreed upon, it shall present to the individual written suggestions outlining how the situation may reasonably be remedied. The committee shall not report such action to the department chair or to departmental committees until the individual in question has had a reasonable opportunity (within one academic term) to discuss with the committee its suggestions and possible alternatives.

**Frequency of Peer Review**

Reviews will normally take place every three years, with scheduling at departmental discretion. They may take place more often at the request of an individual or at the end of a planned period of professional activities and development, as determined jointly by the individual and the assigned committee. If a faculty member has indicated a definite retirement date, no review will take place within a three year period immediately preceding his date, unless it has been recommended by the committee as a result of a previous review or unless the faculty member requests it.

# VI. Office Management and Clerical Staff

## Introduction

Most departments have one or more classified staff members, usually an office specialist or administrative assistant. Some have other classified personnel, which may include laboratory technicians, outreach coordinators, grants officers, etc. Some smaller units may share staff with other departments, or in some cases have no office staff. Office support staff are critical to the effective operation of departments. They are the front-line respondents to inquiries from students, staff, faculty, and the general public. Four primary areas related to departmental operations are discussed in this section: office management (meetings, employee benefits, office hours, salary adjustments); hiring (vacancies, interviewing, offers); evaluations (annual appraisals); and dealing with staff employment disputes.

## Office Management

### Meetings

Good management practices include open communication with office personnel. Chairs are strongly urged to meet on a daily or weekly basis with the head office specialist or administrative assistant, and make themselves accessible to other staff. The head office specialist or administrative assistant should have access to the chair's calendar to know when the chair is available and to schedule appointments.

### Business Hours

All department offices with full-time staffing are expected to be open during regular university hours: 8:00 a.m. to 5:00 p.m. during the academic year. Offices should also remain open during the lunch hour by using student workers or by staggering lunch breaks. When offices are closed during regular university hours, the Dean's office should be notified and a sign should be posted outside the department office indicating when the office will be open and who should be contacted if immediate assistance is required (the Dean's Office can always be listed). Additionally, a recorded telephone message should include hours and alternative contacts (again, the Dean's Office may be listed as a backup).

Classified staff must receive a 15-minute break for every 4 hours worked if they are working eight hours a day five days a week, or a 20 minute break every 5 hours if they are working ten hours a day four days per week. The lunch period is not considered work time. See the SEIU-OUS Collective Bargaining agreement for more details on work conditions for classified staff.

Classified staff submit monthly timesheets to you for approval and signature. These sheets indicate which days they worked and for how many hours, and hours or days taken off for vacation, illness, or other purposes. Once signed, these timesheets are turned into Human Resources. Some care should be taken to ensure that the sheets are correctly and accurately filled out.

## Sick Leaves, Vacations, and Other Leaves

The classified personnel have available a number options for leave and vacation time, both paid and unpaid. For more complete information, chairs should refer to the section of the HR website describing the various leave options.

Following are the leave options available to the classified staff:

**Vacation:** Classified employees who have completed six months of service are entitled to vacation leave. Vacation leave should be approved by you, as their supervisor, and requests to use five days or more of vacation at one time should be submitted in writing 15 days before the desired starting date. Requests for vacation time less than 5 days are to be made at least five days in advance.

Vacation Accrual Rates (years of service accrual rate per month in hours):

Up to 5 years:	8 hours or 12 days each year.
6-10 Years:	10 hours or 15 days each year.
11-15 Years:	12 hours or 18 days each year.
16-20 Years:	14 hours or 21 days each year.
21 Years and over:	16 hours or 24 days each year.

**Holidays:** The holiday schedule for 2009-10, as described in OAR 580-022-0025, will be as follows and the University will be closed on these days:

Veteran's Day - Wednesday, November 11, 2009  
 Thanksgiving Day - Thursday, November 26, 2009  
 Day after Thanksgiving - Friday, November 27, 2009  
 Christmas Day - Friday, December 25, 2009  
 New Year's Day - Friday, January 1, 2010  
 Martin Luther King, Jr. Birthday - Monday, January 18, 2010  
 Memorial Day - Monday, May 31, 2010  
 Independence Day - Monday, July 5, 2010  
 Labor Day - Monday, September 6, 2010

Hourly temporary, hourly student and hourly academic wage employees are not eligible for holiday pay, including the Governor's Day or the Special Day of paid leave.

Whenever a holiday falls on a Sunday, the following Monday is the day off. If a holiday falls on a Saturday, the preceding Friday is a day off.

Employees on leave without pay are not eligible to receive holiday pay.

Classified employees must be in pay status at least 1/2 of the last workday before the holiday, and 1/2 the first workday after the holiday in order to receive holiday pay.

Employees who are required to work on a holiday receive compensatory time off or cash at the rate of time and one-half. Special provisions apply to part-time employees.

*Governor's Day for Unclassified Employees*

Governor Kulongoski has discretion to grant 12-month unclassified employees an additional day of paid leave (Governor's Day) in conjunction with Thanksgiving, Christmas or New Year's Day. This leave is eight hours for full-time employees and is prorated for part-time employees. The employee must be employed as of the day prior to the applicable holiday to receive this leave. This leave does not apply to represented classified employees for whom the collective bargaining agreement outlines holiday provisions (see below).

If granted by the Governor, leave is to be taken on one of the following days:

Pre- Thanksgiving: November 25, 2009

Pre-or post- Christmas: December 24, 2009

Pre-or post- New Year's Day: December 31, 2009

The unclassified employee and the institution must coordinate schedules to maintain regular services on those days. If those days are not available to an employee, the day of leave may be requested and taken on or before January 31, 2009.

**Sick Leave:** Classified employees are entitled to sick leave according to a somewhat complicated formula. The Dean's Office strongly suggests that chairs read Article 40 of the OUS-SEIU Collective Bargaining Agreement. In a nutshell, classified employees are entitled to sick leave, they accrue sick leave (with pay) at the rate of 8 hours per month of employment, they can take sick leave for illness, injury, or other physical issue (either personally or within their immediate family), and the University can ask for medical certification should it choose. In addition, when a classified employee has used up his or her accrued sick leave, they may "borrow" additional unpaid sick leave from the University. Employees may also add other accrued leave time, such as vacation, to their sick leave.

**FMLA/OFLA Leaves:** FMLA stands for the Federal Family and Medical Leave Act. It was originally designed to protect the jobs of new mothers, and later fathers, but has been greatly expanded to include most medical situations. It is unpaid leave, although employees can take FMLA concurrently with a paid sick leave. The employee requesting an FMLA leave must have been employed for at least one year, have worked at least 1250 hours in the last 12 months, and, if possible, give 30 days notice. The employer is required to continue to pay for health benefits, and the employee has the right to the position they previously had before the leave, or another position of equivalent pay. OFLA refers to the Oregon Medical Family Leave Act. It is similar to FMLA except that it covers employees who do not meet the FMLA standards.

**Personal Leaves:** After completing trial service, full-time employees receive 24 hours of personal leave each fiscal year. Personal leave is prorated for part-time employees, and to be eligible for personal leave, an employee must be expected to work 1040 hours during the fiscal year. This time does not accrue from year to year and is not payable in cash. Personal leave should be taken in increments of one hour or more and may be used for any purpose. This leave, like all others, must be scheduled with supervisory approval.

**Other Leaves with Pay:** Employees also have the right to leave with pay for jury duty, testifying in court, or for military leave. Each of these has its own requirements and rules. Military leave is for periods of less than 10 to 15 days and is not intended for employees on active duty.

**Leaves without Pay:** There are a number of situations in which classified employees may go on leave without pay.

### **Classified Hiring**

Classified hiring is coordinated with the Office of Human Resources. The steps are described in the HR link Manager's Corner, which deals with the recruiting and hiring of classified staff. In addition, the Office of Human Resources has put most of the process online using software called "PeopleAdmin," and, as a part of the hiring process, you must obtain an account on PeopleAdmin and be trained by HR in how to use it.

The steps in the process are described there on the site listed above. Some of the highlights include:

- Meet with Dean's Office: Before beginning the process of hiring a classified employee, you must be certain that you have permission from the CLAS Dean's office to do so. Before doing anything, therefore, you should meet with the Fiscal Officer to make sure that you have the money in your budget and the line open to hire.
- Meet with HR: They will review the hiring process, discuss affirmative action issues, explain advertising and background checks, etc.
- Submit a requisition and position description: This is done via PeopleAdmin. This assumes that you know how to use PeopleAdmin and have an account on it. If you do not, you will need to get an account before you can submit these items.
- Create and educate the search committee: The search committee needs to be able to access PeopleAdmin and should understand the rules of interviewing, etc.
- Meet with HR again: The Hiring Committee and HR meet to review the process again.
- Submit Interview Questions for approval: HR must approve the questions you are going to ask the candidates.
- Select finalist on PeopleAdmin: Candidates apply via PeopleAdmin, so you and the committee can look at the candidates online.
- Conduct interviews: Enough said.
- Submit Hiring Proposal via PeopleAdmin to HR.
- Hire

### **Making an offer**

These templates contain all of the required elements for the Letter of Offer/Notice of Appointment. If you wish to include additional information or statements, choose the Word version available on the HR website and edit as needed while retaining the required elements.

## Employee benefits

Information on benefits for the classified employees is available on the Human Resources benefits website. Department chairs should become familiar with this document. Please note that employees enjoy a number of benefits, including various types of leave, insurance, retirement, training opportunities, and health and retirement benefits. The clerical employees are represented by the SEIU Local 503, OPEU, AFL-CIO, CLC Union. The collective bargaining agreement is available online, and department chairs with clerical staff should become familiar with that document.

## Evaluation of Classified Staff

All personnel, including classified employees, are evaluated annually. Unlike unclassified employees, who are reviewed at fixed times during the year, the classified employees are reviewed at a yearly date that depends on when they were hired, reclassified, or promoted. A classified employee hired in, say, August will be evaluated every August.

The annual evaluation of classified personnel is important and chairs should take care to make sure that it is done. For staff who are performing well or exceptionally, the annual evaluations are a chance to reward their performance with good evaluations. For staff who need to improve, it is an opportunity to point out the ways in which they are underperforming, and how they might improve. If it becomes necessary to begin the process of sanctioning or disciplining a poorly performing classified employee, the annual evaluations will be an important part of that process. There are also times when the classified staff receive salary merit increases based on their annual evaluations.

The procedure for annual evaluations of classified staff is as follows:

### What the HR Office does:

- notifies supervisor of upcoming evaluations one month before the review date;
- offers guidance in the evaluation process;
- maintains the official file for the classified employee, which includes past evaluations.

### What you need to do:

- review the job description;
- revise the job description (with the employee) if it is no longer current, and forwards this to HR for review;
- review the prior year's evaluation form, including goals and objectives for the current year;
- review the evaluation guidelines;
- provide the employee with a self-evaluation form and website information, and request return of the evaluation form by a given date;
- review the self-evaluation form--if received--before meeting;
- complete the evaluation form and use the current (or updated) position description to identify job functions;
- meet with the employee to review and discuss the evaluation form;

- keep a copy and return the original signed form to the HR office for the personnel file; set occasional checkup times with the employee.

#### **What the employee needs to do:**

- review the job description;
- revise the job description (with supervisor) if it is no longer current;
- review the prior year's evaluation form, including goals and objectives for the current year;
- review the evaluation guidelines;
- complete the self-evaluation form if desired;
- meet with the supervisor for a performance evaluation of:
  - specific job functions
  - common performance factors
  - goals, objectives, and development
- keep the original copy of the performance evaluation
- meet occasionally with the supervisor for checkups.

#### **Policies, Handbooks, and Regulations**

Portland State University operates under a complex set of Oregon State, OUS, and PSU rules, regulations, and policies. In addition, classified personnel procedures are governed by the Collective Bargaining Agreement between OUS and OPEU. There are a number of important policies, internal management directives, the Union Contract, rules about public employees' political activities, and State of Oregon regulations of which you should be aware (see online Chair Handbook for links to these policies).

#### **Policies**

- Drug Free Policy
- Code of Ethics
- Acceptable Use Policy
- Telecommuting Policy
- Vehicle Rules for State Drivers
- Work/Life Policy
- Inclement Weather/School Closure Policy
- Professional Standards of Conduct
- Consensual Relationship Policy

#### **Internal Management Directives**

- Sexual Harassment Policy
- Alcohol & Tobacco Policy
- HIV Policy
- Financial Irregularity Policy
- Gifts, Grants and Contracts Policy

#### **Union Contract**

- SEIU Local 503 Labor Contract (OPEU represents classified employees)

**Public Employees and Political Activities**

- Restrictions on Political Campaigning
- Election Law Summary for Candidates and PACs

**State of Oregon Regulations**

- Oregon Administrative Rules
- Oregon Revised Statutes

**Staff Employment Disputes****Sanctions, Discipline, and Discharge**

Articles 17 and 18 of the Oregon University System/SEIU Local 503 Collective Bargaining Agreement discuss the principles and rules for progressive sanctions—including dismissal—of classified employees, and their rights to grievance (Article 18). The agreement specifies that the principles of progressive discipline shall be used when appropriate. That is, discipline should take place in measured steps appropriate to the situation. Discipline shall include, but not be limited to: written reprimands; denial of an annual performance pay increase; reduction in pay; demotion; suspension; and dismissal. Discipline shall be imposed only for just cause.

If you are contemplating sanctioning a classified employee, the Dean's Office strongly suggests that you talk to the Human Resources Office before proceeding.

Appendix F of the collective bargaining agreement shows a table of the timelines and steps involved in progressive discipline.

**Training and Development**

The Office of Human Resources offers a wide range of professional, managerial, career development, and computer courses for all staff. The University also encourages staff members to become lifelong learners by offering discounts for undergraduate and graduate level courses taken at PSU and elsewhere in the Oregon University System through the Staff Fee Privilege (SFP) Program.

## VII. Budgeting

### Introduction

Every chair and program director is responsible for the accurate, timely, and cost-effective management of his or her unit's budget and resources in accordance with Federal, State, and University policies and procedures. The budgeting process requires that chairs be able to accurately forecast their departments' annual budget needs, taking into account enrollment goals, faculty salaries, service and supply costs, graduate student support expenses, grant income, fund transfers, and other, sometimes unknown, factors. It is also necessary that chairs manage their budgets so that they do not end the fiscal year in debt.

Here are some facts about budgeting:

- Budget planning usually begins in February or March of the year before.
- Although the State of Oregon operates on a two year budget, Portland State University operates on an annual budget.
- The fiscal year is from July 1 to June 30 of the following year.
- The budget year is determined by the year in which the budget ends. For instance, the 2006-2007 budget is referred to as the 07 budget.
- All departmental and program budgets must be balanced at the end of the fiscal year.
- Chairs have considerable autonomy in budgeting and expending their units' funds within the limits established by the University and the Dean's Office. However, budgetary decisions that require a change in the department's basic allocation, including faculty salaries and major equipment purchases, must have the prior approval of the Dean's Office.
- Chairs should work closely with the CLAS Fiscal Officer.

### CLAS Department Budget Spreadsheet

The CLAS departmental spreadsheet is the basic budget document showing department resources, income. Across the top of the spreadsheet are the budget categories -- faculty salaries, OPE, student expenses, etc. -- and along the side are individuals or items from which the budget receives its money or on which the resources are spent.

### CLAS Department Budget Spreadsheet Items:

#### Resources:

The first section of the departmental budget form lists the various income or resources available to the department during the budget year. Some of these resources come from the university base budget, some from CLAS, some from other units in the university, and some from the faculty-generated activities. The following are the basic income or resource categories:

**Base Budget:** The first section of the budget document is the department's base budget. The base budget is the part of the budget that is in the University's recurring budget, that is, the part of your budget that is fixed and paid for by the university. (To see your base budget for any year, you can go to the FADM Budget website, <http://www.bud.pdx.edu>-- click on **Budget Exhibits**, then click on the **year** you want to look at, and then go to **Summary by Program**).

The base budget usually includes the tenure-track faculty, the chair's salary, maybe office support staff, and services and supplies.

**Other Fund Sources:** The Other Fund Sources are resources that are expected to come into the department during the year. These can include many sources: money from grants or contracts for course buy-outs, budget transfers to your department from University Studies, or other income.

**CLAS Funds:** This is money transferred to the department from the Dean's reserve fund, which is misleadingly called the Access Fund. This fund consists of resources the Dean's office receives from OAA or other sources to supplement the base budget, so that departments can accomplish those tasks that the base budget and the other funds do not cover. The access funds are generally allocated for covering extra course sections to meet enrollment goals, but also may be given to cover other departmental expenses. The amount a department receives from the Dean's reserve is determined each year by discussions with the Dean's Office, and depends on the department's goals and needs and the availability of funds.

### **Expenses:**

The second section of the budget lists the departmental expenses. Expenses include the following items:

- **Base Budget Expenses:** These are the expense items that are in the base budget. They usually include your tenured faculty, any office support staff included in the base budget, the chair's salary, and services and supplies. Some departments have additional base budget items, such as lab support and student stipends. The amount of base budget expenses should usually be the same as the base budget resources.
- **Non-Base Expenses:** These are those expenses that you expect to incur that are not covered by the base budget. They include most of your fixed-term faculty, TA and RA stipends and tuitions waivers, and any additional expenses.

### **Budget Planning:**

Budget preparation and planning for the academic year begins in the winter of the year prior, usually in February. To begin building their departmental budgets, departments are given an enrollment goal for the coming year and asked to plan their course offerings so as to reach that goal.

**Estimating Instructional Expenses:** Since the largest expense in most departments is the teaching of courses, the first step in the budget planning process is for each department to project the courses it will offer in the following year to meet its enrollment goal. This is done using a grid. On the departmental Course Planning Grid, each department lists which faculty will teach which courses for each term of the following year, how many students enrolled in these courses in the past and how many will enroll in the following year, whether TA's are to be used for the course, who will pay for the courses (i.e. will the course be covered in the base budget or will other funds pay for the course). This information helps the department and the College determine how much money the department will need to meet its enrollment goal.

**Other Expenses:** To plan for the following year's budget, chairs must also be able to estimate expenses. This requires knowing who may be going on leave or sabbatical, how many adjuncts will be needed to cover the sections projected in the grid, any expected increases in services and supplies, how many TA's or RA's are required, etc. Some issues, such as changes in faculty salaries and OPE (Other Personnel Expenses) may affect your departmental budget, but these issues are mostly out of our control.

**Additional Income:** At the budget planning stage, departments also need to estimate additional income. This can come from grants and contracts that will bring money into the department, fund transfers from other units, and income from other sources.

**Projected Request from Dean's Reserve:** Once you have calculated how many courses you need to offer, how much your base budget is, how much additional revenue you expect, and how many additional expenses you expect, you should know how much you need from the Dean's reserve fund. It is important to note that the Dean's fund does not even come close to meeting all of the requests from departments for help. Therefore, you should always understand that there will be some amount of negotiating between you and the Dean regarding your budget. There is simply not enough money for each department to have what it wants.

### Budget Managements

Once a budget has been established for the department, it is important that the department stay within that budget. If adjustments to the budget become necessary during the year (for instance, because of the loss of expected income or the need for additional sections), the chair should work closely with the CLAS budget officer to restructure the budget.

### Unclassified Salaries:

In most departments or programs, the greatest expense is faculty salaries. Faculty salary rates are determined through collective bargaining or by salary ranges established by the Finance and Administration Office, and are largely out of the hands of department chairs. Here are some things to know about managing the salaries of the departmental faculty.

**Tenure-Track Faculty:** The salaries of the tenure-track faculty are generally determined by collective bargaining. The only time chairs are able to play a role in the salary levels of tenure track faculty is during the hiring process, or on those rare occasions when money is available for salary increases. Once a tenure-track faculty member's salary has been established, any changes to the base rate occur through collective bargaining or through promotion. For the salary ranges of tenure-track faculty, see Article 30, Section 2 of the Collective Bargaining Agreement.

Tenure-track faculty teach on a 24 credit-hour basis. That means they receive 16.78 percent of their faculty base pay for each four-credit course taught.

**Fixed-Term Faculty:** The salaries of the fixed-term faculty are also determined by the Collective Bargaining Agreement (see Article 30, sections 3 and 4). Instructors teach on a 36 credit-hour basis. That is, they receive 11.12 % of their salary base for each four-credit course taught.

**Adjunct Faculty:** The adjunct faculty are represented by the American Federation of Teachers Union. Article 12 of the PSU-AFT Collective Bargaining Agreement describes the salary minimums that are to be used for adjunct teaching and research faculty. The salaries listed are on a full-time basis: adjunct faculty teach on a 45 credit-hour basis. This means that they receive .09 % of their salary base for each four-credit course taught.

**Graduate Student Stipends and Tuition Remissions:** Departments with graduate programs may also have the support of graduate students in their budgets. These positions, usually labeled Graduate Assistantships, or GA's, are usually for teaching assistants (TA's), or for graduate research assistants (GRA's), and the students usually receive both a stipend and a tuition remission. The budget for these positions can come from several sources: grants or contracts, base budgets, or from the Dean's reserve fund. Tuition remissions, if not funded through grants or contracts, are paid for with funds that come from the Office of Graduate Studies to CLAS. Since the amount the College receives from the Office of Graduate Studies is dependent on how many GA's were given tuition remission the previous year, it is important that department use the money given to them for tuition remission on tuition remissions.

The salary rates, or stipends, for each year are listed on the FADM website. These stipend amounts are given at both the full-time 9-month rate and the full-time 12-month rate. However, GA's must be appointed for at least a 0.15 FTE, and for no more than .49 FTE.

### **Purchasing and Contracting:**

Purchasing and contracting procedures are discussed in Section III. This is an area where departments can easily get into trouble, so it is strongly suggested that chairs read the purchasing and contracting webpage of the Business Office. In addition, since these procedures and policies change from time to time, chairs are encouraged to attend the Administration Briefings sponsored quarterly by OAA.

### **Travel:**

The University provides funding for travel to conferences and professional meetings for faculty with .50 FTE appointments or higher. The Faculty Development Committee awards these grants, but the Committee only meets once a term, so applications for travel funding must be submitted several months in advance. Information on travel funding for faculty, including application procedures and deadlines, can be found on the Research Administration website.

### **Banner**

It is important to keep track of your department's budget during the year. In general, you should know where and when money is being spent and how it is coming in. The Dean's Office strongly recommends that you keep good books on expenses and income, and not rely on the university bookkeeping system. It is useful, however, to be able to go online to check your departmental budget. You can look at your budget on the Banner FIS system, or through GQL. Both systems are reporting the same information. However, you should be warned that, for the uninitiated, the Banner system is difficult to navigate and difficult to understand. It requires that you know specific account, organizational, and expense codes. In addition, debits or credits to your budget sometimes occur long after these transactions take place, so what you see on Banner may look nothing like what your current budget actually is.

For those still not discouraged, there are a number of workshops on how to use Banner FIS and GQL. See the OIT Website for times and locations.

### **Financial Regulations and Financial Irregularity Policy**

It is important to note that all financial transactions must conform to the regulations of the Oregon University System, of which Portland State University is a member. As such, the policies and procedures directly guiding this campus can be found in the Higher Education chapters of the ORS's - Oregon Revised Statutes (Higher Education Chapters 351, 352, and 354), and the Oregon Administrative Rules (OAR's), in particular chapters 580 (OUS) and 577 (PSU). All PSU employees and students are expected to adhere to applicable rules and regulations governing their relationship with PSU.

ORS's and OAR's carry the force of law. In addition to this legal framework, OUS has developed its own Internal Management Directives (IMD's) detailing universal policies governing its operations. Portland State University also has developed its own IMD's governing its operations.

In addition, PSU has contractual obligations regarding personnel issues in the arenas of collective bargaining. Its faculty also has its own governance structure, as set forth in the Faculty Constitution. As such, actions taken by PSU employees must conform with applicable contractual obligations as well as PSU's legal and regulatory framework.

It is particularly important that department chairs understand the section of the PSU Internal Management Directives that deal with financial irregularities (Section 1.500 of the IMD's). It is very important that unit chairs read and be aware of the financial irregularity policy, since several departments have gotten into difficulty because of these specific policies. The policies include both definitions of financial irregularities and rules on reporting financial irregularities or suspected irregularities. It also includes a provision that protects "whistle-blowers."

Financial irregularities include any intentional misstatements or omissions of information related to financial transactions that are detrimental to the interests of the campuses or system. These may include violations of relevant Federal, State, OUS or campus laws, rules, and procedures. These acts include, but are not limited to, embezzlement, fraud, and forgery or falsification of reports, documents, or computer files to misappropriate assets. "Suspected Financial Irregularity" is a reasonable belief or actual knowledge that a financial irregularity is occurring or has occurred. "Responsible Unit" is a recognized functional or budgetary unit within the organizational structure of the institution. If you know of or suspect any financial irregularity, you should contact the Dean's Office immediately.

Below is a table that summarizes the financial irregularity policy.

### FINANCIAL IRREGULARITY POLICY - PROCEDURE SUMMARY

Responsible Party	Responsibility
Employee	<ul style="list-style-type: none"> <li>• Report known or suspected financial irregularity within responsible unit or other parties as appropriate.</li> </ul>
Responsible Unit	<ul style="list-style-type: none"> <li>• Report known or suspected financial irregularity to Institutional Designated Administrator.</li> <li>• Provide data for investigation procedures as necessary.</li> </ul>
Institutional Designated Administrator	<ul style="list-style-type: none"> <li>• Ensure OUS and University Financial Irregularities Policy is followed.</li> <li>• Contact and consult with Financial Irregularities Advisory Committee, responsible unit administrators and Internal Audit regarding suspected financial irregularity and appropriate measures.</li> <li>• Assist Internal Audit Division in investigation.</li> <li>• Complete or provide data for investigation procedures as necessary.</li> <li>• Ensure appropriate institutional communications occur.</li> </ul>
Financial Irregularities Advisory Committee	<ul style="list-style-type: none"> <li>• Advise, inform and assist Institutional Designated Administrator, Internal Audit Division and relevant parties as appropriate.</li> </ul>
OUS Internal Audit Division	<ul style="list-style-type: none"> <li>• Ensure OUS Financial Irregularities Policy is followed.</li> <li>• Consult with Institutional Designated Administrator and relevant campus representatives regarding appropriate measures.</li> <li>• Complete investigation procedures as necessary.</li> <li>• Report results of investigations to institution management.</li> <li>• Ensure relevant system and external reporting requirements are met.</li> </ul>
All Parties	<ul style="list-style-type: none"> <li>• Maintain confidentiality and objectivity</li> </ul>

## VIII. Student Relations

### Introduction

Students are the lifeblood of the University. The relationship departments have with their students is critical to student success and to higher retention and graduation rates. Since departments are evaluated in part on their enrollment and on the number of degrees they grant each year, it is important that departments have policies that are student-friendly. At the same time, academic departments need to establish and maintain clear academic standards and to demand excellence from their students. The department chair is often the person that both faculty and students turn to when they are unable to resolve problems or concerns. Chairs frequently manage faculty complaints about student conduct, cheating, plagiarism, and other problems, as well as student concerns over grading or faculty conduct. They are also the ones faculty come to when they notice that a student is going through difficult times and may be contemplating suicide or other dangerous behavior. This chapter provides guidance for department chairs on University policies and resources for dealing with these kinds of student issues.

### Classroom Issues

Instructional faculty members are free to set standards of classroom behavior as they see fit, up to a limit. Some faculty members allow or even encourage students talk among themselves in class, allow students to work together, permit students walking around in class, and students leaving or entering the classroom during the class period. Other teachers have standards that do not allow some or all of these behaviors. The important thing is that all instructors know what behaviors they are willing to allow or not allow and to make those policies clear to the students at the beginning of the course, both verbally and in their syllabi.

### Attendance

There is no university policy on attendance. Each faculty member should develop his or her own policy. Some faculty make attendance a graded part of the course, giving students 10 to 20 percent of their final grade based on attendance. If it is important that students attend every class session, that policy should be stated clearly in the syllabus, and students should be informed of the attendance policy at the first class meeting. Faculty who require attendance should have some means of recording students' attendance, in case students question their course grade at the end of term.

If attendance is not important and faculty feel that students are adults who can make their own decisions on this matter, faculty should make that clear to students at the beginning of the term, as well.

### Excused Absences

The University has an undergraduate excused absence policy, primarily for students who participate in University-sponsored events, although the policy can also include students who may need to miss class for personal reasons. University-sponsored events include athletic competitions, class field trips, music performances, and other such events. The policy is included in its entirety below.

### **Undergraduate Missed Class Policy**

It is the responsibility of each instructor to determine and publish the class attendance policy in the course syllabus distributed to enrolled students at the beginning of the quarter. The instructor's class attendance policy supersedes requests for approved absences.

- Students are responsible for informing the instructor, in writing and at the earliest opportunity, of absences due to university-sanctioned events or personal responsibilities.
- If a student must miss class due to an unforeseen event, the student must inform the instructor of the reason for the absence. Absences not cleared with the instructor before the specific class event (exam, presentation, assignment due) may require a document from the relevant authority (e.g., coach, employer). If the instructor decides that the absence is justifiable, then he or she should attempt to provide opportunities for equivalent work.
- When absences are approved beforehand by the student and instructor, the instructor will allow students to make up missed work and/or give an option to attain attendance points. When there is a dispute between students and instructors over the opportunity to make up work or attendance, the issue will be adjudicated by the chair of the department and then (only if needed) the dean of that school or his/her designee.
- The student may not place any undue burden on the instructor to provide opportunities to make up course work due to excused absences.

### **Classroom Behavior**

Sometimes students misbehave in the classroom and usually the class instructor is able to handle such behavior. However, there are times when student behavior reaches a point where greater authority is needed. There are several tools available when these situations arise.

#### *Student Conduct Code*

It would be wise for all department chairs (and, for that matter, all faculty) to be familiar with the Student Conduct Code. The Code includes descriptions of unacceptable student behavior in the classroom, with other students, and on campus in general. Particularly Code violations include "Obstruction or disruption of teaching, research, administration, disciplinary procedures or other University activities." The Code also addresses issues of academic dishonesty and cheating, including but not limited to: plagiarism; the buying or selling of term papers or research papers; furnishing false information; forgery; stalking; harassment; and sexual misconduct.

The Student Conduct Code also includes procedures for complaints against students, including procedures for complaints of academic dishonesty.

### **Grading**

At Portland State University, grades are submitted online. In order to submit grades, the instructor must have a PSU ODIN account and be able to login to the PSU Information System. The grading process is relatively self-explanatory. Instructions, including dates and deadlines for final grades, how to deal with incomplete grades, how to change grades, and other issues, can be found at [http://www.pdx.edu/registration/online\\_grading.html](http://www.pdx.edu/registration/online_grading.html).

The following tables presents PSU's grading policy. Beyond this general advice, the University has no specific rules regarding grades. Faculty are free to do develop their grading criteria as they see fit; however, grades must be assigned in a fair and objective manner. Furthermore, the grading policy in a course should be specified in the syllabus or otherwise made clear to all students on the first day of class. Any instructor bias toward individual students should not be a factor in grading.

<b>Grade</b>	<b>Grade Points</b>	<b>Undergraduate</b>	<b>Graduate</b>
A	4.00	Excellent	Excellent
A-	3.67		
B+	3.33		
B	3.00	Good	Satisfactory
B-	2.67		
C+	2.33		
C	2.00	Satisfactory	Below Standard
C-	1.67		
D+	1.33		
D	1.00	Inferior	Failure
D-	0.67		Failure
F	0.00	Failure, no credit awarded	Failure, no credit awarded

<b>Grade</b>	<b>Grade Points</b>	<b>Undergraduate</b>	<b>Graduate</b>
I		Incomplete	Incomplete
IP		In-Progress	In-Progress
W		Withdrawal	Withdrawal
AU		Audit, no credit awarded	Audit, no credit awarded
X		No basis for grade	No basis for grade
M		Auto-generated mark for no grade reported	Auto-generated mark for no grade reported
P		Pass (C- or better)	Satisfactory completion (B- or better)
NP		No pass/No Credit	No credit: Unsatisfactory

### Grade Appeals

Students have the right to challenge their grade in a course. There are two parallel processes for appealing course grades. The informal process is for the student to talk to his or her instructor about the grade that is being challenged. If this conference does not resolve the issue, or if the student is not able to talk with the instructor, the student may meet with the department chair or program director to discuss the grade. If this does not resolve the issue, the student then has the option of talking to someone in the Dean's Office.

If this process does not resolve the issue, the student has the right to make a formal academic appeal to the Academic Appeal Board, coordinated through the Office of Student Affairs. This board is composed of six faculty and three students. Once students have appealed to the instructor, the department chair, and the Dean's Office, the student may submit a written appeal to the Academic Appeal Board based on the Academic Appeals Guidelines.

At the Academic Appeal Board hearing, the instructor has 20 minutes to present his or her case. The student then has 20 minutes to rebut the instructor's presentation. The board then makes a recommendation to the Provost, who issues a final decision on the case.

### Plagiarism

Plagiarism is included in the Student Code of Conduct, discussed elsewhere in this chapter. The Student Code of Conduct includes prohibition of "all forms of academic dishonesty, cheating, and fraud, including but not limited to: (a) plagiarism, which includes, but is not limited to, word for word copying, using borrowed words or phrases from original text into new patterns without attribution, or paraphrasing another writer's ideas; (b) the buying and selling of all or any portion of course assignments and research papers; (c) performing academic assignments (including tests and examinations) for other persons; (d) unauthorized disclosure and receipt of academic information; and (e) falsification of research data."

If a student is caught plagiarizing or engaging in any other act of academic dishonesty, the course instructor may issue a zero or a failing grade for the assignment in which the academic dishonesty was found, but they may not remove the student from the course or fail them on other academic assignments. Academic units may, however, suspend the student engaging in academic dishonesty from the department or program, or expel them. In addition, the instructor or the department may submit a written complaint to the Office of Student Affairs regarding the student's misconduct.

### FERPA

One of the most important legal issues a chair should be aware of is the Family Educational Rights and Privacy Act (FERPA). FERPA is a Federal law that protects the privacy of the student's records. The FERPA rules are complicated and extensive, but, in a nutshell, the rules specify when and who gets to see a student's records. Records include not only files in offices or computerized information, but also student exam scores, student essays, or other student work that may be in a faculty office or in other locations.

Essentially, the FERPA rules specify that:

- Students or their parents have the right to inspect and review the student's educational record, although the school does not need to provide copies except in special situations.
- Students and/or their parents have a right to request that a school correct a record that they believe to be inaccurate or misleading. If the school disagrees over this, the student has a right to a hearing.
- The school must have the written permission of the student to release any information from the student's record, except to certain parties.

## Sexual Harassment and Consensual Relationships

Issues of sexual harassment and the complexities of consensual relationships between faculty and students generally come to the department chair first. Below are the university's policies in these situations.

### Sexual Harassment Code

The Sexual Harassment policy forbids "sexual harassment, in all its forms, as unethical behavior, disruptive of workplace and campus life, and inherently antithetical to the University's mission, purpose and functioning. PSU administration, faculty, staff, and students are responsible for assuring that PSU maintains an environment for work, study, and the provision of services and activities that is free from sexual harassment." Allegations of sexual harassment are a serious concern, and department chairs are responsible for ensuring that they are dealt with promptly and effectively. Don't hesitate to contact the Dean's Office if your department is confronted with this issue and you are unsure about how to proceed.

### Consensual Relationships Policy

Consensual relationships are relationships that are amorous, romantic or sexual in nature, legal within the state of Oregon, in which both parties are willing participants. This includes relationships between faculty members and students. Obviously, as a general policy such relationships are to be avoided, especially between faculty members and students who are enrolled in the faculty member's class at the time of the relationship. However, consensual relationships do occur and the most important part of the policy is that the relationship should immediately be reported to the supervisor, usually the department chair, and the faculty member should not be involved in grading or otherwise evaluating the student.

### Students of Concern

Instructional faculty may come to the department chair for advice on dealing with a "student of concern." This term refers to students that faculty believe might be a danger to themselves or others. The University has several resources for addressing the needs of these students and protecting the safety of the campus community, including a brochure developed by the Students of Concern Committee.

This brochure lists a number of warning signs to which teaching faculty should pay attention. These include:

- Is this student's behavior distressingly out of the ordinary?
- Is this beyond my skill level?
- Is the behavior getting worse?
- Does the behavior place anyone at risk?
- Am I feeling like I want to talk with someone about my observation and concerns?

If the faculty member's answer to any of these questions is yes, he or she is advised to call the Student Health and Counseling Service at 503-725-2800 and ask for the on-call counselor.

For students who are troubled or struggling, but do not appear to be a danger to themselves or others, the following campus resources are also available:

### **Counseling and Psychological Services**

Periodically students with psychological or emotional difficulties appear in our offices or classrooms. The Counseling and Psychological Services office provides short-term individual therapy and can assist with crisis intervention, problem solving, adjustment issues, and similar matters. CLAS has found that this is a wonderful service with a highly professional staff. Students should be directed to this office if it appears that they need its services.

### **Student Legal Aid and Mediation Service**

The Student Legal Aid and Mediation Service (SMLS) is a fully functioning law service available to registered students at PSU. SMLS has a lawyer on staff and can represent students in family or divorce issues, criminal offenses, including victims of crimes, personal injury and traffic cases, including traffic tickets, landlord-tenant issues, consumer/debtor-creditor law, and employment issues. The service is not available to faculty or staff.

### **Campus Safety**

Department chairs and directors should also be aware of the services offered by the Campus Public Safety Office. This office combines several functions that are important to campus safety, including campus police, emergency management coordinator, crime prevention, office and building security, and a host of other functions. They have campus security officers that can respond to criminal or other disturbances on campus and they coordinate with the Portland Police Bureau on issues of mutual importance.

The Campus Public Safety Office also provides information and support for several personal safety issues, including bicycle safety, building security, issues of telephone harassment, credit card protection, identity theft protection, and guidelines for public demonstrations.

Of particularly importance, given that PSU is an urban campus close to downtown, the Public Safety Office provides a safe escort service for people who may be walking across campus at night. The following is a list of suggestions the Public Safety Office offers to people who may be on campus in the evening.

- Notify the Public Safety Office regarding any safety hazards (burned out lights in hallways or stairwells, inoperative doors, broken windows, malfunctioning elevators).
- Do not enter a dark building: Call Public Safety at 503-725-4407 and wait for an officer to advise you whether you will be permitted to enter the building.
- Always walk in pairs or in groups: Please call the 24-hour Public Safety Escort Service at 503-725-4407, if you feel the need for an escort.
- Please use the Public Safety Escort Service rather than walk alone at night on campus. In addition, the Women's Resource Center also provides a similar escort service called Safewalk, which can be reached at 503-725-9255.
- Know the location of the nearest emergency blue light signal or call box to your residence hall, study room, practice room, classroom, parking lot, etc.
- Know the locations of all the campus telephones in every building.
- Know the names and locations of all campus buildings.

# IX. Program-Level Assessment

## Introduction

Department chairs are responsible for ensuring that assessment of student learning is taking place at the program level. All departments are expected to complete at least one assessment activity each year that provides insight into how well graduate students, majors, minors, and/or certificate-earners are achieving the learning outcomes that departmental faculty have developed for the program(s).

It is important to remember that program-level assessment is not about evaluating individual students or faculty (although assessment activities may lead faculty to rethink course content, assignments, or pedagogical approaches). Rather, program-level assessment is gathering data on the effectiveness of the current curriculum in helping students achieve the learning outcomes established by the department, and using the findings to continuously improve students' learning experiences. Because departmental faculty are the resident experts in their disciplines, they are the most qualified to make judgments about what learning outcomes to assess and the most meaningful ways to measure whether the desired level of learning has taken place.

## Program Learning Outcomes

Every unit in CLAS has developed program-level learning outcomes for its undergraduate (and, when appropriate, graduate) degree-earners. These outcomes are not set in stone: rather, it is expected that most departments will continue to add, remove, and revise outcomes as their assessment activities progress and their disciplines and program offerings grow and change. Some programs have as few as four broad learning outcomes, while others have more than twenty that are much more specific. However many learning outcomes your department has developed, it is important that they be measurable, and that your department has some kind of mid- to long-range plan to eventually measure each of them.

One of the most important functions of program-level learning outcomes is to help students understand and articulate the skills and knowledge they have gained through their experiences in your program. Make sure that your department is taking advantage of every opportunity to communicate its learning outcomes to students. This could include posting them in the department office and on the program's website, including them in orientation, recruitment, and advising materials, and listing relevant program-level outcomes on course syllabi.

## Assessment Methods

Depending on their academic disciplines and levels of experience with this kind of applied research, chairs may feel more or less comfortable with the idea of assessment. Fortunately, you do not need to be an expert in statistical reasoning, social science, or education research to conduct effective program-level assessment. There are many relatively straight-forward methods that programs can use to assess student learning successfully, but most fall into one of two broad categories: indirect and direct.

### **Indirect Measures**

Indirect measures of student learning are those that rely on self-report or other secondary sources of information to gauge what students have learned. They include methods such as:

- Student, faculty, alumni, or employer surveys and questionnaires
- Student, faculty, alumni, or employer focus groups
- Analysis of syllabi (to get a sense of the course content to which students have been exposed)

Indirect measures can provide important insight into students' experiences of the curriculum and the degree to which they or their instructors believe they have had opportunities to achieve a learning outcome. Students also often appreciate the opportunity to provide feedback on their experiences in a program and any gaps they feel are present in the curriculum. However, on their own, indirect measures are not considered sufficient for a long-range program-level assessment plan. Although they do not need to take place every year, all departments should make sure to include at least some *direct* measures of student learning as part of their long-range assessment planning.

### **Direct Measures**

Direct measures of student learning are those that examine actual student output or work samples to determine how well students have mastered particular skills, concepts, or bodies of knowledge. Direct measures include analysis of the following kinds of materials:

- Student writing samples, such as essays or reflective papers
- Non-written work, including presentations, performances, creative works, or digital media
- Compilations of student work, such as portfolios or e-portfolios (online collections of student work, often in the form of a student-designed website)
- Performance on quizzes, tests, or examinations

These measures are considered to be more objective, reliable indicators of student learning than student self-report or anecdotal faculty impressions.

Please note that, for both indirect and direct measures, your department does not need to collect data from every student in the program. Rather, you are collecting data on a *sample* of the students, either through survey and focus group responses or through a batch of student work that accurately represents their range of performance.

### **Assessing Student Work Samples**

The first step in assessing student work samples is to identify a key course or assignment in which students will demonstrate the degree to which they have mastered the learning outcome your department is assessing. In many cases, this will be a course toward the end of the curriculum, such as a senior seminar, which is a logical place to measure students' cumulative learning in the program. In other instances, the department may be interested in assessing what students gain in a particular course that is intended to address one or more of the program's key learning outcomes (for example, a methods course). In some situations, if the department wants to know more about the foundation being laid for students at the beginning of the program, it might target an introductory course for data collection. The most appropriate site for gathering

student work samples depends on the learning outcomes being assessed or the pressing questions about student learning that the department wants to answer.

When assessing student work samples, be they papers, poster presentations, or portfolios, it is important to remember that this kind of assessment is different from grading. Rather than assigning a single letter or percentage to the work sample as a whole, the "readers" should be operating from a rubric that breaks down the criteria for successful achievement of whichever learning outcome(s) they are assessing. If, for example, your department is using a sample of student essays to assess understanding of cultural diversity, the readers should be scoring the work samples with a rubric that focuses on the pertinent diversity-related skills, concepts, and knowledge relevant to your discipline. Other factors that might be taken into account when *grading* such a paper, such as grammar and spelling or mastery of citation, should not affect the way readers score the paper for understanding of cultural diversity.

When assessing student work, it is ideal to have at least two people rate each work sample. This gives the scores greater reliability than a single rater can provide. Having a third reader to weigh in when the two primary readers disagree by more than one point on the rubric scale is also helpful.

Before assessing student work samples, make sure to remove all names, both to preserve students' confidentiality and to help protect against reader bias (a particular concern in small departments where faculty readers may know many of the students whose work is included in the assessment).

### **Levels of Analysis**

Faculty sometimes wonder why the grades they give students and the course evaluations students complete are not considered sufficient for program-level assessment. The reason for this is that grades and course evaluations are operating at different levels of analysis than program-level assessment. Course grades reflect individual students' performances within a course, and evaluations reflect students' self-reported experiences of a particular course (and the instructor teaching it). Program-level assessment is intended to measure the degree to which students are collectively achieving learning outcomes across many courses with several different instructors in a multi-year curriculum. While program-level assessment activities often focus on a particular course for data collection, this is generally done to determine whether that course is performing its intended function within the curriculum, not to evaluate that course's instructor.

### **Human Subjects**

Collecting student data for internal assessment purposes *does not* require a human subjects review process or informed consent from the students involved. However, if there is any possibility that someone in the department might want to use the data in a publication (other than basic assessment reporting to the University), the department must submit a request for human subjects approval to the Office of Research and Sponsored Projects (ORSP). Most types of assessment research will qualify for waived review, the quickest and easiest approval granted by ORSP. Templates of human subjects requests and letters for informed consent that can be adapted to a range of assessment methods are available through the Center for Academic

Excellence. If you are planning to publish any of your assessment data, approval from the Compliance Specialist at ORSP must be obtained *before* data collection can begin.

### Who Conducts Assessment

Different departments take different approaches when assigning responsibility for program-level assessment. In some small departments, the Chair conducts the assessment, consulting with other faculty as needed. In some cases, the faculty as a whole decide on an assessment activity, and the faculty teaching the relevant course(s) take responsibility for collecting the data. Many larger departments appoint an assessment committee, which is tasked with planning, conducting, and reporting the findings of program-level assessment back to the department. Finally, some departments have faculty who specialize in the scholarship of teaching and learning in their discipline, and these faculty take on program-level assessment with the intention of publishing on some aspect of this work. Rewarding faculty during the promotions and tenure process for participation in assessment activities and publication on teaching and learning will encourage more faculty in your department to participate and help shoulder the responsibility for program-level assessment.

### Closing the Feedback Loop

The most important part of the program-level assessment cycle is "closing the feedback loop"—that is, using the findings of assessment activities to make specific changes to the program that will improve student learning. Although the department chair or assessment committee can make recommendations, the conversation about how to make use of assessment findings is one in which all faculty should participate. Some departments make it an annual practice to discuss their assessment findings at an end-of-year meeting or faculty retreat. Documenting this evidenced-based decision-making is part of the annual assessment reporting process.

### The Annual Assessment Cycle

Portland State operates on an annual assessment cycle. Just like hiring and scheduling, budget, faculty review, and promotions and tenure, there are important deadlines on the assessment calendar that now take place every year, and that department chairs are responsible for meeting.

### Planning Assessment

Most departments have a multi-year plan for assessing their programs' learning outcomes. This plan might be highly detailed, with each learning outcome linked to clear assessment measures and courses from which to collect data several years in advance. Other departments have looser plans, and make many of their decisions about outcomes, methods, and courses to target for data collection year to year, depending on their most pressing assessment concerns. Regardless of the level of detail in your department's long-term assessment plan, you should be developing specific ideas for the upcoming academic year's assessment activities by late summer. By fall term, you should know:

1. What learning outcome(s) you will be assessing
2. What term(s) and course(s) you will be collecting assessment data from
3. What measure(s) you will be using to assess the learning outcome(s)
4. Which faculty will be responsible for collecting the data
5. Which faculty will be responsible for analyzing the data
6. Which faculty will be responsible for reporting the data

You will be asked to report your assessment plans for the academic year to the Dean's Office at the end of fall term.

### **Conducting Assessment**

When your department conducts its assessment activities will depend on the course(s) from which you are collecting data: although most departments conduct their assessment activities during winter or spring term, some key courses in your curriculum may only be offered in the fall. Regardless of the timing, it is very important to make sure that the faculty teaching the course(s) and the faculty conducting the assessment are aware of their responsibilities, and are prepared to distribute surveys, conduct focus groups, or collect student work samples during the necessary window(s) of opportunity. It is okay if there is some lag time between when responses or work samples are collected and when they are analyzed; however, particularly with data collected during spring term, faculty should be cognizant of the amount of time required to process the data, and must complete this work in time to present results to the department and determine how to close the feedback loop before the University assessment reporting deadline in late spring.

### **Reporting Assessment**

All units are expected to report on their assessment activities annually, with the reporting deadline in late spring. Program-level assessment reports are submitted through the online Digital Measures interface. While your department is free to write a lengthier report on assessment activities for its own purposes, the Digital Measures reporting form is relatively brief. The key pieces of information required for program-level assessment reporting are:

- Which learning outcome(s) you assessed
- The term(s) and course(s) from which data were collected
- The names of faculty directly involved in the assessment activity
- Methods and measures (i.e., what you did)
- Findings (i.e., what you learned)
- Closing the feedback loop (i.e., how you will use your findings to improve your program)

### **Feedback on Assessment**

Every summer, the Dean's Office and the Associate Vice Provost for Teaching, Learning, and Assessment in the Center for Academic Excellence (CAE) work together to review each department's recent assessment activities and long-range assessment plans. This committee locates the developmental stage of each unit's program-level assessment to date on a three-point scale: Early-Stage Development, Mid-Stage Development, or Established. A department's placement on this scale is based on the following criteria:

- The establishment of clearly articulated, measurable program-level learning outcomes
- The degree to which program-level learning outcomes are being clearly communicated to students
- The quality and meaningfulness of the assessment activities that the department has conducted
- The extent to which assessment findings have been used to improve the program
- The proportion of the department's program-level learning outcomes that have been assessed so far

After determining the developmental stage of your department's assessment activities to date, the CAE will work with you to identify areas for improvement as you begin planning your program-level assessment for the upcoming year. With this ongoing feedback, CLAS hopes to see all its academic units reach "Established" assessment levels by 2015.

### **Where to Go for Help with Assessment**

If you have questions about program-level assessment planning or methods, contact Leslie McBride, Associate Vice Provost of Teaching, Learning, and Assessment in the Center for Academic Excellence.

## X. External Unit Reviews

### Introduction

Regular external review of departments and programs encourages self-study and planning, and provides objective feedback on a unit's effectiveness and productivity. It is our goal to conduct external reviews of CLAS academic units every seven years. In some cases external unit reviews will be coordinated with important programmatic decisions in which external reviews are also required. External reviews of CLAS units will be coordinated through the CLAS Associate Dean of Departmental Affairs.

### Basic points:

- Departments should conduct external reviews every seven years. This means that four or five departments will be conducting external reviews each year.
- The review visit by the external evaluators should take place in the winter term or early spring terms of each year, although the preparation for the review should begin during fall term.
- Departments being reviewed should meet with representatives of the Dean's office as soon as possible during fall term of the review year to begin planning.
- Working with the Dean's office, the Department should prepare a narrative describing what the Department expects to accomplish during the review and a list of questions to be addressed.

### Selecting Reviewers:

- The Department will work with the Dean's Office to identify potential reviewers.
- Reviewers should be experts in the same academic area, familiar with the issues of departments of this nature, and have stature in the field.
- Potential reviewers with prior experience conducting reviews or those who are officers in related professional organizations are preferred.
- The Dean's Office will have the final word on the external reviewers.

### Documents that should be sent to the reviewers before their visit:

- The narrative statement of what the Department hopes to accomplish in the review, including the Department's strategic plan and the list of questions it would like the review to answer.
- Description or statistical information on the Department, including the number of faculty, students, graduates, major curriculum, departmental by-laws, graduation rates, etc.
- Any internal documents that address the history or activities of the Department (e.g. letters to alumni, faculty presentations, etc.)
- Description of the grants and contract history of the Department over the last five years.
- Department's current budget, including faculty salaries
- Other Department accomplishments
- CVs of all tenure-track faculty
- Course syllabi
- Links to the Departmental website
- Any brochures or other material about the department

- Five year data on enrollment patterns, graduate rates, class sizes, number of majors and minors, etc.
- Information on community partnerships and service learning
- Information, if available, on the careers or placement of past students

### Institutional Data

- OIRP information on PSU faculty and students.
- Links to the University website.
- Other PSU documents on development, University activities, including *PSU Currently*, *PSU Magazine*, the CLAS newsletter, etc.

### Visit

- External reviews are generally conducted during winter or spring term.
- The Department will be responsible for coordinating the review, including the arrangement for travel, lodging, and stipend of the reviewers.
- The Department will coordinate the review with the Dean's Office.
- Funds for the costs of the review will be provided by the Dean's Office.
- There will generally be two reviewers, although in some cases a third reviewer may be required.
- The review visits will last two or three days.

### Meetings

- The review will begin and end with a meeting with the Dean or a representative of the Dean's Office.
- The external reviewers should meet with the department as a whole one to two times.
- The external reviewers should meet at least once with each faculty member.
- The external reviewers should meet with a group of graduate students, if appropriate, and a group of senior majors.
- The external reviewers should meet with faculty from other departments who have relationship with the department, if appropriate.
- The external reviewers should meet with other administrators upon request and availability

### Final Report

- A draft of the review report will be completed at the end of the review.
- A final report from the external reviewers will be sent to the Dean's Office within three weeks of the review.
- This report, along with comments from the Dean's office, will be shared with the Department.
- The Department will have two weeks to respond to the external report.
- The Department will meet with the Dean's office to discuss how to implement recommendations and address other comments made in the report.
- At the end of the academic year following the external review, the Department will be expected to report on progress in implementing recommendations or suggestions made in the review.

# Schedule for External Reviews

## 2008 - 2013

Department	2008-2009	2009-2010	2010-2011	2011-2012	2012-2013
Anthropology		X			
Applied Linguistics		X*			
Biology		X			
Black Studies			X		
Chemistry				X	
Chicano-Latino					X
Conflict Resolution	X				
Economics		X*			
English	X				
Environmental Sciences			X		
Foreign Languages and Literature			X		
Geology				X	
Geography			X		
History	X*				
International Studies				X	
Judaic Studies				X	
Mathematics					X
Native American Studies					X
Physics	X*				
Philosophy			X		
Psychology				X	
Sociology				X	
Speech Communications					X
Speech and Hearing Sciences					X
Women Studies			X		

\* External Search as part of proposal for Ph.D. program.