Academic Leaders Handbook

Overview of Responsibilities and Guiding Questions

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I. Introduction & Overview

This Handbook provides academic leaders with basic information regarding their responsibilities, expectations, and authority, including roles of the Provost, Associate Provosts, Deans, Associate Deans, Chairs, Associate Chairs, Graduate Program Directors, as well as other Directors and Coordinators. SUU Policy #6.2 (Academic Officers) provides an overview of these various roles and responsibilities.

In terms of operational effectiveness and efficiency, academic leaders have the responsibility to ensure that resources are used to help the University fulfill its core mission. Likewise, academic leaders are expected to help the University determine its strategic priorities and align activities accordingly. Finally, academic leaders have the opportunity to shape their unit's overall culture and climate.

To that end, this resource includes an overview of key areas of responsibility and provides academic leaders with resources and guiding questions to help frame the broader impacts of their decisions. This Handbook, and the various on-campus and off-campus materials it links to, should be supplemented by participation in professional development opportunities, leadership training, and mentoring through regular meetings with supervisors and colleagues.

II. Leadership: Roles & Responsibilities

Overview

The scholarship regarding academic leadership has been evolving for several decades. With some exceptions, academic leadership is moving from the traditional top-down structure to one of shared governance. This shared governance model is established to provide faculty and staff with opportunities to help guide the University in new directions, directions that are necessary for institutional health and sustainability.

Ultimately, decisions that affect the ability of the University to fulfill its mission are in the hands of academic leaders. There are several reasons why this is important:

- The President and other administrators are directly answerable to the Board of Trustees and the Utah System of Higher Education.
- Academic leaders are responsible for the financial and budgetary aspects of the University and as such, administrators are responsible to assure that funds are allocated appropriately, responsibly, legally, ethically, and transparently. Budgets are established that determine and guide where resources are directed based on institutional goals and priorities.
- Academic leaders are responsible for the development and organization of programs that support the institution's mission.
- Academic leaders are responsible for all external contracts that are relevant to the institution.
- Most importantly, Academic leaders do the tasks necessary to keep the University operational, allowing faculty and staff to perform the work necessary to fulfill our primary mission: educating students.

Leadership vs. Management

In its simplest term, leaders set the vision for an organization whereas managers execute this vision. All academic leaders perform their duties around the core values of the institution, and work alongside faculty and staff to make sure that ethical standards are being held. As academic leaders, we have to both lead and manage.

Working with Difficult People, Conflict Management, and Crisis Management

There are no tried and true ways of dealing with people whom we may consider "difficult." Often, we associate this term with individuals who tend to be boisterous and loud, those who are constant complainers, and those who appear to dwell on the negative (or imagine only worse case scenarios). However, even "difficult" people can shed light on critical issues that are in need of remediation and can help improve the organization. Be patient and engage these so-called "difficult" people with an attitude of appreciation and problem-solving. Bring them into the conversation, honor their concerns, and engage them in constructive ways to address their concerns.

Leadership Resources

The following links provide access to resources on different aspects of leadership:

- ➔ Building Trust & Respect
  - ◆ Building Trust in High-Performing Teams

- How the Best Leaders Build Trust
- Three Key Strategies from Stephen MR Covey: How to Lead with Trust & Optimize Wellbeing
- Build Your Trust With Deliberate Behaviors
- TEDxHGSE: Building a Psychologically Safe Workplace

➔ Coaching
- TEDxGatewayArch: Building your Inner Coach
- TEDxLausanne: Leaders Who Coach are Creating Better Workplaces, and So Can You.
- The Leader as Coach

➔ Conflict Management
- How to Manage Conflict
- TEDxBalor: Why There's So Much Conflict at Work and What You Can Do to Fix It
- TEDxDayton: Finding Confidence in Conflict
- TEDxUSU: The Beauty of Conflict
- EDxWestVancouver: Restorative Practices to Resolve Conflict/Build Relationships
- TEDxWhitefish: Conflict – Use It, Don't Defuse It
- Want Collaboration?: Accept—and Actively Manage—Conflict

➔ Crisis Leadership in Higher Education
- Crisis Leadership in Higher Education with Ralph Gigliotti
- 6 Domains of Knowledge for College Leaders During Crisis Times

➔ Dealing with Difficult People
- Five Tips For Working With Difficult People
- Look Internally When Dealing with Difficult People
- TEDxLivonia: How to Deal with Difficult People

➔ Diversity and Inclusion
- TEDxAuckland: Yes She Can
- TEDxGlobal: The Danger of a Single Story
- TEDxKanata: From the Inside Out: Diversity, Inclusion & Belonging
- TEDxMilan: How Diversity Makes Teams More Innovative
- TEDxSalon: 3 Ways to be a Better Ally In the Workplace
- TEDxUPS: How to Get Serious About Diversity & Inclusion in the Workplace

➔ Human Relations
- TEDxWilmington: Putting the Human Back into Human Resources
- TEDxBundaberg: The Power of Human Connection
- The Best Summary of How to Win Friends and Influence People

➔ Leadership Fundamentals
- TEDxBCG Mumbai: A Guide to Collaborative Leadership
- TEDxDerby: Great Leadership Comes Down to Only Two Rules
- TED: How Great Leaders Inspire Action
- USHE Women's Leadership Exchange

Roles & Responsibilities

At SUU, academic leaders are expected to be familiar with University policies, especially those that fall within the 6.xx range. See: https://my.suu.edu/help/policies/ for a listing of all University policies.

Numerous key roles and responsibilities for academic leaders are outlined in SUU Policy #6.2, which includes the following positions: Provost, Associate Provosts, Deans, Associate Deans, Chairs, Associate Chairs, and Graduate Program Directors. A broad overview of the responsibilities for these key leadership roles on campus is included below.

Provost & Associate Provosts

Provost

The Provost is the chief academic officer of the University. The Provost is responsible to represent the University in such a manner as to ensure the orderly and efficient conduct of University academic affairs, when the President delegates appropriate authority.

Specific responsibilities and functions of the **Provost** are to:

a. Develop, administer, and promote the academic programs and academic support functions of the University;

b. Recommend to the President appointments, reviews, and promotions of the University's academic personnel, including: the recruitment of faculty; the development, tenure, and promotion of faculty; University assessment and accreditation; and issues related to faculty morale;

c. Coordinate and promote academic proposals, changes, reviews, and other academic matters with the Board of Trustees, the Board of Higher Education, the Utah System of Higher Education, and other institutions and groups;

d. Coordinate the University's colleges/schools, Library, Continuing Education, academic support offices, and other academic activities;

e. Coordinate educational policies and academic planning functions;

f. Provide pertinent academic guidance and input on physical facilities planning and utilization; and

g. Serve as Chair of the Deans' Council and as Chief Executive Officer of the University in the absence of or upon delegation by the President.

Associate Provosts

Associate Provosts participate in formulating academic strategy and policy. Specific responsibilities and functions of the **Associate Provosts**, include:

a. Assisting the Provost in promoting and coordinating all University academic programs and academic support functions.

b. Supervising academic support functions as directed by the Provost.

c. Supervising academic assessment, program and curriculum changes, and other duties as assigned.

d. Working closely with the Deans to ensure a smooth and unified working relationship between the colleges/schools and the Provost's Office.

Deans & Associate Deans

Deans

Deans are recommended by and report to the Provost. The college/school Deans have responsibility for all programs related to the college/school including academic, scholarly/creative, and student activities, as well as credit-bearing continuing education curricula. Where appropriate, a college/school may administer specialized academic units that report to the Dean of that college/school or designee. A Dean will administer each college/school and is the chief executive officer of the college/school.

Specific responsibilities and functions of the **Deans** are to:

a. Develop, administer, and promote the academic programs and academic support functions of the school/college;

b. Develop recommendations for the nomination, retention, promotion, tenure, and compensation of faculty, department chairs, and staff members in departments and units assigned to the college/school (the provost may delegate to the dean authority to offer employment or initiate a dismissal within the college/school);

c. Coordinate and promote academic proposals, changes, reviews, and other academic matters with the other deans of the University, and other institutions and groups;

d. Coordinate the departments and programs within the school/college;

e. Develop and coordinate educational policies, planning functions and physical facilities planning and utilization of the school/college;

f. Provide leadership and conduct strategic planning;

g. Develop external relationships for the purposes of (1) enhancing student placement opportunities; (2) providing meaningful community outreach opportunities for students and faculty; and (3) cultivating additional fund-raising opportunities for the University; and

h. Responsible for managing and monitoring college/school budgets, allocates and has oversight of department/unit budgets.

Associate Deans

Associate Deans may be authorized in some colleges/schools. Associate Deans assist with the administration of a college/school (see policy 6.2)

Specific responsibilities and functions of the **Associate Deans** are to assist the Dean with:

a. Development, administration, and promotion of academic programs and academic support functions of the school/college;

b. Development of recommendations for the nomination, retention, promotion, tenure, and compensation of faculty, department chairs, and staff members in departments and units assigned to the college/school;

c. Coordination and promotion of academic proposals, changes, reviews, and other academic matters with the other deans of the University, and other institutions and groups;

d. Coordination of departments within the school/college;

e. Development of educational policies, planning functions and physical facilities planning and utilization of the school/college;

f. Leadership and conduct of strategic planning; and

g. Development of external relationships for the purposes of (1) enhancing student placement opportunities; (2) providing meaningful community outreach opportunities for students and faculty; and (3) cultivating additional fund-raising opportunities for the University.

Department Chairs & Associate Chairs

Department Chairs

Department Chairs run academic departments in support of the University's mission. This means that they manage their department's budget and expenses, set the course schedule, determine a fair faculty workload, attend administrative meetings with their dean, faculty, and staff, submit various reports, evaluate faculty and staff, and deal with student complaints and other issues, all in exchange for a slightly reduced teaching load.

Chairs typically take on their role with little or no formal training and it takes a while to learn the job. If this is you, we recommend you find one or more experienced Chairs and ask if they would be willing to serve as your mentor.

A good overview of how to be an effective Chair we recommend *The Department Chair Primer* (Second Edition) by Don Chu (2012). Below is an official list of Chair responsibilities as listed in SUU policy.

Specific responsibilities and functions of the **Department Chairs** include:

a. Providing leadership for the department in all professional matters, particularly in developing program plans, coordinating assessment, and maintaining high quality performance in teaching, scholarship/creativity and service;

b. Developing, administer, and promote the academic programs and academic support functions of the department;

c. Recommending to the dean appointments, reviews, and promotions of the department academic staff including the recruitment of faculty; the development, tenure, and promotion of faculty; department assessment and accreditation, and the development and maintenance of faculty morale;

d. Coordinating and promoting academic proposals, changes, reviews, and other academic matters within the college/school; e. Coordinating educational policies, plan functions and physical facilities planning and utilization of the department;

f. Making specific teaching and other appropriate assignments to individual faculty and staff members of the department, supervise and evaluate the work and performance of each staff member; and participate in the LRT process for faculty.

g. Ensuring that curricula in the department are current and of the highest quality; and

h. Responsible for managing and monitoring department budgets.

Associate Chairs

Responsibilities of **Associate Chairs** (where applicable) include:

a. Where associate chair positions are authorized, the positions will assist in the administration of the department. Associate department chairs should be faculty within the unit, and normally not have personnel or leave, rank and tenure responsibilities. SUU Policy 6.38 describes appointment procedures.

b. Chairs will determine the responsibilities of associate chairs who will be accountable to their respective chair.

c. Associate chairs will be evaluated annually by the department chair. As part of that evaluation, honesty, integrity, reliability, courtesy and respect for others, consistency and related positive character traits will be considered.

d. Using the procedures outlined in policy, after every three years of service in the position, the department chair will initiate a formal evaluation of the associate department chair with evaluative input from that department's eligible faculty and staff. Evaluative components include those listed in section 3 above.

*Breakdown of **Department Chair & Associate Chair** Responsibilities*

1. Responsibilities to the students
    1. Advising
    2. Scheduling of classes and best fit faculty (for example, which faculty can best recruit introductory students into the major?)
    3. Conflict resolution (for example, if a student contests a grade, strive for impartial decision making).
    4. Scholarships
2. Responsibilities to the University
    1. Planning and managing budgets
    2. Writing and submitting reports
    3. Efficiently scheduling classes, maximizing fill rates within pedagogically reasonable limits
3. Responsibilities to your college/school
    1. Planning and managing budgets
    2. Communication with the Dean
    3. Commencement
4. Responsibilities to your department and faculty
    1. P&T - Take a developmental approach to guiding faculty toward the definition of Faculty Engagement.
    2. Hiring - Hire faculty who are excited about the definition of Faculty Engagement
    3. Scheduling workloads
    4. Curriculum
    5. Payroll approval for staff and student workers

Graduate Program Directors

The Graduate Program Directors typically report to the Dean of the College/School and typically for a three year period of time. In some cases, the Graduate Program Director reports to the Department Chair. The role and responsibilities of Graduate Program Directors are defined by the program. The online General Catalog outlines all graduate level policies and procedures. Graduate students operate under the Catalog in effect when they are admitted. Most catalog changes (admissions standards, course descriptions, curricula, etc.) must be made via the University curriculum or policy review and approval process.

Some of the main duties for **Graduate Program Directors** include:

a. Complete curriculum assessment efforts. TracDat, an application to track data can be found on the SUU Portal. Based on the program learning outcomes identified by the faculty teaching the courses, the results of the assessments are recorded on TracDat .
b. Budget. The overall annual budget (Program fee and other fees). This process is discussed with the Dean of the college/school.
c. Recruitment and retention data. Argos reports can be used as a resource to track data.
d. Tuition Waivers: In accordance to provisions outlined by the Graduate Council, each graduate program is allocated an amount of graduate waiver funds to be used for strategic purposes identified by each graduate program. The specific criteria and deadlines are overseen by the Graduate Program Director.

Resources for Graduate Directors

- SUU Online: If the graduate program is online, the SUU Online Office is responsible for recruitment, admissions, and marketing of graduate programs. Close collaboration between the Graduate Program Director, Dean, and SUU Online is critical to the success of such efforts.
- Graduate Studies Website. Web Services can be reached for updating graduate program information.
- OTL Office: The Office of Online Teaching & Learning (OTL) provides additional support for online graduate courses and instructors.

III. Personnel: Faculty, Staff, & Student Workers

Oversight of various personnel issues is a critical responsibility of academic leaders, and this extends to hiring, supervision, training, mentoring, and evaluating faculty, staff, and student workers. Below are some resources to help academic leaders get started on issues related to overseeing personnel.

Strategic Hiring

A. Hiring Process (Human Resources)
    a. Policy 6.38 Faculty Hiring
B. Making the Case to Request a New Faculty Line (use the UEPs or new DARs)
    a. Justify the Need
        i. Are enrollments increasing? Are class sizes increasing? Are you full-time faculty engaged in overload teaching assignments?
        ii. Can you show that your pedagogical capacities and classroom capacities are aligned?
        iii. Can you show that your utilization/fill rates are high?
        iv. Have you thought about the possibility of adding online sections, which might inform the search process? Online instructors may have different skill sets than face-to-face instructors and could bring value to your programs.
    b. For your department's programs, what should the balance be between TT, NTT, and adjunct instructors? Are there valuable industry perspectives provided by NTT or adjunct instructors that would benefit your students?
    c. What disciplinary expertise is needed? Are your programs keeping up with emerging trends within the discipline, within graduate programs, and within the workforce?
C. Diversity, Equity, and Inclusion
    a. How might you adopt an equity lens to approach the search process for new faculty?

Difficult Employees and Personnel Issues - Dean's Office, Provost's Office, Title IX Office, HR

A. Guiding Principle - SUU makes a commitment to provide support to faculty as they continually develop throughout their career. The Department Chair's responsibility is to recommend appropriate mentorship and professional development opportunities that will guide faculty toward effective faculty engagement. Each faculty member's responsibility is to demonstrate continual progress toward effective faculty engagement.
B. Policies
    a. The revised Policy 6.1 (Faculty Evaluation, Promotion, and Tenure) is developmental in nature. Department Chairs, Associate Professors, and Full Professors have the responsibility to guide Lecturers and Assistant Professors through the early parts of their career. (Reference - Highlights of P&T Revision)
    b. Policy 6.28 (Faculty Professional Responsibility) is also a vital component in faculty evaluation, especially concerning difficult employees and personnel issues. The revised P&T policy has replaced Collegiality with specific and multiple references to *Policy 6.28*.
C. Disciplinary Action
    a. Department Chairs should work directly with their Deans regarding challenging employees and personnel issues. The Deans will work with the Provost's Office when necessary.

b. Remember to listen to multiple perspectives before making decisions. (Resource - CAST materials for Listening and Helping Skills)

Professional Development

A. Campus Resources for Professional Development
   a. Center of Excellence for Teaching & Learning (CETL) - The CETL offers multiple professional development opportunities for faculty to improve their teaching effectiveness. Opportunities include, but are not limited to:
      i. Learning Communities to improve various areas of teaching effectiveness
      ii. Curriculum Innovation Grant Workshops focusing on High Impact Practices and other evidence-based practices
      iii. Faculty Development Support Fund to support faculty participation in off-campus teaching workshops and professional development conferences
      iv. New Faculty Orientation and other offerings to introduce new faculty to SUU's student-centered, teaching-for-learning ethos.
      v. Classroom Observations to hear CETL staff perspectives
      vi. Upcoming Conferences about teaching and learning
   b. Office of Online Teaching & Learning (OTL) - The OTL offers online instructional design, technical support, multimedia instructional development, and institutional support.
   c. P&T Mentorship Teams
      i. P&T Mentorship Teams should provide important guidance to faculty as they align their contributions with departmental evaluation criteria and SUU's student-centered mission.
      ii. Features of Evidence-Based Teaching Strategies
      iii. Features of Effective P&T Mentorship
B. Staff Evaluation
   a. Classified Staff Evaluation Form (link from HR website)
   b. Professional Staff Evaluation Form (link from HR website)
C. Guiding Questions
   a. Video - Fixed vs Learning Mindset
   b. Does your department have a minimum bar for contributions, or does it support continual growth, learning, and improvement?
   c. Does your department focus on faculty members' past achievements or their future learning goals?

Encouragement of Innovation and Collaboration - How to Manage for Collective Creativity

D. Guiding Questions
   a. How are you promoting collaboration within your department? How are you promoting collaboration within your college, across SUU, and in the broader community?
   b. How do you encourage talented people to play out their passions?
   c. How does your department's P&T evaluation criteria encourage integration of teaching, scholarship, and service/leadership?
   d. How do you build community? What processes and policies will encourage the type of community in which faculty will co-create?

Hiring

A. Timeline
   a. On campus postings = minimum 5 business days
   b. Off campus postings = minimum 15 days
   c. Start dates are preferred as the 1st or 16th of each month.
B. Department Chair Responsibilities
   a. Obtain Recruitment Authorization Form from HR and all required signatures.
   b. Write or update the job description. Ask the Chief Diversity Officer review to make sure the advertisement is inclusive.
   c. Form the hiring committee: at least three members, male and female.
   d. Notify the successful candidate after Notice of Appointment Form is signed by President or President's designee.
      i. Note: New personnel are required to report to HR on their first day of work to complete appropriate employment, benefits, and other legal documents.
C. Administrative Assistant Responsibilities
   a. Request from HR access to PeopleServ for all committee members.
   b. Schedule rooms or conference phone calls for interviews.
   c. When a position is offered, complete hiring forms for new hires.
      i. Personnel Action Form,
      ii. Equal Employment Opportunity Process Form, (EEO) and
      iii. Recommendation for Appointment Form (will need to be signed by President or President's designee.)
D. Policies
   a. 5.21 Procedures for hiring new staff employees
   b. 6.38 Faculty Hiring

Title IX

A. Overview - Southern Utah University is committed to providing a safe and respectful environment for all members of and visitors to the University community. It is the responsibility of every member of the University community to foster an environment free of sexual misconduct. SUU prohibits any and all forms of sexual misconduct and will maintain this policy with a commitment to promptly and effectively:
   a. Eliminate, prevent, and remedy the effects of sexual misconduct.
   b. Foster a campus community where sexual misconduct is not tolerated.
   c. Cultivate a climate where all individuals are informed, supported, and protected in reporting sexual misconduct.
   d. Provide a fair and impartial evaluative and investigative process for all parties.
   e. Identify the standards by which violations of this policy will be evaluated and disciplinary actions imposed.
   f. Identify University resources and assist with interim measures for the aid and protection of those involved in the process.
B. Department Chair Responsibilities
   a. Report gender inequity, sexual discrimination, sexual harassment, sexual abuse, and sexual assault immediately to the Title IX Office (https://www.suu.edu/titleix/). The Title IX Office is located in the Bennion Building Office 111.

    b. Safe Colleges training is required each year by all employees (HR will send a reminder).
    c. Inform all employees of their responsibilities and rights.
    d. Participate fully and ethically in all investigations.

C. Administrative Assistant Responsibilities
    a. Report, in writing, misconduct to the Title IX Office, immediately.
    b. Participate fully and ethically in all investigations when asked.

D. Relevant Policies
    a. 5.27 Non-Discrimination / Anti-Harassment.
    b. 5.60 Sexual Misconduct
    c. 8.4 Employment Grievances

Workload Calculations

- Link to Jan 21 Workload Memo
- Link to SUU Workload Policy 6.27
- Link to ICH Calculation Doc (Oct20)
- Definitions
    - Instructional Credit Hour (ICH)
    - Student Credit Hour (SCH)
    - Contact Hours
    - Credit Hours
    - Crosslist: combined ICH value for ANY reason= should be cross listed
    - Instructional Method (Course Attribute)
    - Instructional Type (see workload calculations, below)
    - Low Credits
    - High Credits
    - Employee Class Code
    - ContactHrsCalc
    - Budget Code (Course Attribute)
        - UBA is Budget Related (Regular)
        - UBC is Budget Related Concurrent Enrollment
        - UBU is Budget Related Remedial
        - USD is Self-Support Regular
        - USF is Self-Support Concurrent
    - Sapr Code
    - Instructor Percentage: some courses have multiple instructors with teaching responsibility; only pay ICH values based on the % of instruction listed in banner (if it's 50/50, it can't be listed as 100/0) can be paid to them
- Workload calculations
    - In general: applicable hours * enrollment factor (see following) * crosslist SCH factor * instructor responsibility
    - 103/104: ICH is calculated as XINV; compensation is SCH * $50; paid from index HSSINV (college independent study account)
    - Enrollment >60-100 = +1.2 ICH; >100-150 = +1.4 ICH; >201+ = 1.8 ICH
    - XLEC (lecture): Credit Hours = ICH
    - XLEL (Lecture/Lab): Credit Hours = ICH

    - XCON (Conferences/Workshops): Credit Hours = ICH
    - XLAB (Lab): Course Credit + (Contact – Course Credit) / 2 = ICH
    - XTHE (Thesis): SCH / 6 = ICH
    - XSUP (Supervision at remote sites): SCH / 20 = ICH
    - XINV (individualized instruction): SCH / 10 = ICH
    - XDIS (Dissertation): SCH / 3 = ICH
    - XOTH (all others): SCH / 15 = ICH
    - Instructional percent * ICH = Instructor ICH toward workload
- Faculty teaching expectations:
    - Tenure/ Tenure Track: 24 ICH / year (typically 12/12)
    - Non-Tenure Track: 30 ICH / year (typically 15/15)
    - Adjunct: 9ICH (for departments with Lecturers with 12ICH teaching expectation) and 11ICH (for departments with Lecturers with 15ICH teaching expectation) See Policy 5.32 and Policy 6.27
- Applications for **Teaching Reassignment** reduce faculty teaching expectations
    - Per Policy 6.27, upon approval by the provost, dean, and the faculty member, the department chair may reassign faculty from their normal work load to complete special duties and studies for a department or program. Such activities may include, but are not limited to, teacher licensing, accreditation, curriculum development, research, studies, program assessments, or other relevant activities. In the event that the reassignment impacts the faculty member's ability to meet LRT criteria, a written record of the reassignment stipulating any exceptions or waivers to LRT criteria, signed by the Provost, Dean, Chair and Department LRT Chair will be provided to the faculty member prior to the reassignment.
    - The provost, in consultation with the dean, department chair, and faculty member may request reassignment of faculty for special projects or duties in support of University initiatives. Documentation should be provided that clarifies agreements with the department about the impact a reassignment may have on a faculty member's ability to meet the LRT criteria of their department or program.
- Some staff personnel have teaching expectation as part of their contract
- There are numerous exceptions and special circumstances to consider

Promotion and Tenure Process

Promotion and tenure considerations are a significant issue for both the faculty and SUU. Academic leaders, especially the Deans and Department Chairs are in key positions to evaluate the faculty member's various contributions and forms of engage.ent. Therefore, academic leaders should (1) clearly communicate all criteria to faculty and do so early and often, (2) be consistent among faculty and with respect to an individual's performance over time, and (3) be candid with feedback and include specific examples illustrating the quality of performance, constructive criticism of any potential areas for improvement, and practical guidance for future improvement efforts.

Academic leaders must scrupulously follow promotion and tenure policies and procedures and take special care when reviewing faculty from their own disciplines. The following represents a brief summary of the P&T process. Whenever possible, however, please refer to Policy 6.1.

<u>Process for Tenure-track Faculty</u>

Annual Reviews - Tenure-track faculty submit an annual Faculty Engagement & Contribution Plan and Report. Tenure-track faculty must meet and collaborate with their assigned mentors to evaluate the faculty's progress and create a FEC Plan for the upcoming year.

- The **FEC Plan** outlines process and outcome goals for the upcoming academic year. The plan should be 1- to 3-pages aligned with the University mission, Department evaluation criteria, and the *Student-Centric Faculty Engagement Model* (see Policy 6.1).
    - Template for the plan can be found in Appendix A of Policy 6.1
- The **FEC Report** describes the previous year's progress toward their plan, including additional information to support and/or justify the report. The report should be 1- to 3-pages and may include appendices.
    - Template for the plan can be found in Policy 6.1 and on the "resources" page hosted by the Provost's Office.

Midpoint reviews - Tenure-track faculty submit an portfolio that consists of

1. Midpoint Application Cover Sheet
2. Prior annual reviews, if applicable
3. Progress toward each FEC Plan (e.g., FEC reports)
4. FEC Plan for the upcoming year
5. If years toward tenure were granted, work done that result in the years granted toward tenure
6. Supporting documentation

Tenure and Rank Advancement for Tenure Track Faculty

Process for Tenured Faculty

Five-Year Post-Tenure Review
Promotion to full Professor Applications

Process for Non-tenure-track (NTT) Faculty

Annual reviews
Rank Advancement Process

IV. Curriculum & Programs

Academic leaders have the opportunity to shape current and future academic programs and individual courses to meet the needs of students and prepare them for post-graduation success. Likewise, academic leaders can ensure programs and courses remain relevant and that faculty review and update curriculum regularly.

Curriculum - Meet students' needs through curricular innovation.

A. Guiding Questions
    a. What curricular changes can your department make to more effectively meet student needs and/or job market demands? What additional resources would you need (space, faculty, library resources, specific expertise, etc.)?
    b. What new programs can your department add to meet student needs and/or job market demands? What resources would you need? What programs can be consolidated?
    c. What online courses/programs can you create that can maintain pedagogical effectiveness? What resources would you need to ensure quality?

R401 - New Program Proposals

I. Contact the Dean's Office to ensure the effort is aligned with institutional priorities and ensure the program has the support of the Dean.
II. Contact the Provost's Office to receive guidance on which proposal form to complete.
    a. Review pertinent policies regulating new program development within Utah System of Higher Education (R401)
    b. Review SUU's university-level curriculum meeting schedule (example for 2021-2022)
III. Department Chair Responsibilities
    a. Provide justification for new program based on sound data
    b. For new program proposals that include new courses, ensure new course proposals are developed at the same time.
    c. Ensure existing faculty schedules are able to accommodate teaching these new courses on a regular basis.
    d. If new faculty lines are needed, begin working with the Dean's Office to prepare budget requests.
IV. Administrative Assistant Responsibilities
    a. If requested by the department chair, complete the necessary University forms using Curriculog.
    b. When approved by the agenda administrator at both the department level and college/school level, the proposal will advance automatically to the University level curriculum committee.
V. Policies
    a. 6.8 Development and Revision of Curriculum: Introduction

V. Course Scheduling, Instruction, Assessment, & Accreditation

Department Chairs and/or Program Directors work in concert with administrative assistants on academic scheduling. The main contact between an academic division and the academic scheduling office is the administrative assistant. However, the Chair is ultimately responsible for the division's schedule.

Currently, SUU schedules courses for an entire academic year at a time. This includes Fall, Spring, and Summer semesters. Deadlines are found on the Registrar's website which is provided in the resource section of this chapter. At the institutional level we can think of this as a large puzzle. The scheduling office puts the entire puzzle together, but each academic division is responsible for their portion of the puzzle.

Best Practices for Department Chairs

- You should begin by pulling the *Schedule Preparation by Department* Argos Report from previous corresponding semesters.
- Review what the SUU Catalog lists will be offered in a specific semester
- Departments use a variety of tools from software for timetabling to paper and post-it notes to organize proposed classes and classrooms

Scheduling: maximize effectiveness / efficiency by considering room capacity, course capacity, and utilization.

A. Pedagogical capacity, classroom capacity, and utilization/fill rates
    a. Guiding Questions:
        i. What is the pedagogical capacity for each course? That is, what is the maximum class size in which quality can be maintained?
        ii. What is the historical classroom capacity and utilization/fill rate for each course?
        iii. What changes can you make to align pedagogical capacity with classroom capacity to maximize utilization/fill rates?
        iv. How will changes to your pedagogical capacity, classroom capacity, and utilization/fill rates impact the institution's space, personnel, and financial challenges?

B. SCH/ICH (Student Credit Hours / Instructional Credit Hours)
    a. Guiding Questions:
        i. In courses with multiple sections, is there consistency in pedagogical capacity, classroom capacity, and utilization/fill rates?
        ii. In courses with multiple sections, are faculty experiencing fair distributions of students?
        iii. What is the right balance for your department between high capacity (typically lower-division) courses and low capacity (typically upper-division) courses? How will it impact your faculty members' teaching loads, equity, and morale? How will it impact your department's financial situation? How will it impact the University's financial situation?
        iv. What types of pedagogy should you encourage for large classes versus small classes? Can faculty balance their workload in large classes by altering their teaching strategies?

C. Scheduling Academic Rooms through the Registrar's Office - https://www.suu.edu/registrar/scheduling.html
   a. Guiding Questions
      i. What are your students' scheduling needs?
      ii. Is it wise to schedule all of your courses during the morning, or should multiple sections of each course be dispersed throughout the day?
      iii. How do your courses intersect with other programs' courses? Are you creating unnecessary scheduling conflicts?
      iv. What are your faculty members' scheduling needs? (Note: This is important, and we need to find the right balance between students' needs and faculty members' needs.)

Instructional Modality

A. Guiding Questions
   a. How can the mode of instruction impact space and budget needs?
   b. Can some courses move to the online or hybrid environment to ease classroom space needs? For example, can three hybrid courses that each meet face-to-face once per week share a MWF classroom at a particular time?

Resources

A. Operational - Registrar's Office
B. All other questions - The Dean's Office first, then the Provost's Office

- Course Scheduling
  - Hopefully you have a great staff member who is fluent in the various systems and databases provided by the University: Banner, Argos, Canvas, etc. Ongoing (daily) communication with that support person is essential in addressing the ever changing needs of students and the scheduled courses they require to move forward with their education. Your connection to your Dean is critical as well as s/he reports to the Provost's Office with the courses and loads.

- Curriculum
  - Curriculum is a faculty and department assignment. It is critical that all faculty contribute to the scope and sequence of your coursework and the content of your courses. The Syllabus is a great place to start with identifying what needs to be taught and assessed in each source. Having a common style and approach to syllabi in your department is a wonderful support to your learners and your faculty who serve them. SUU Policy 6.36 is a wonderful standard to follow to stay aligned with your peers at SUU.

Accreditation

SUU is accredited by the Northwest Commission on Colleges and Universities.

- Discuss NWCCU accreditation criteria that specifically impact academic leaders
  - NWCCU Accreditation Liaison (James Sage, Associate Provost)
- Outline the accreditation cycle and deadlines for academic leaders

- SUU faculty and staff with significant accreditation experience include:
    - Matthew Roberts, Chair of the Department of Engineering and Technology
- Describe how to use TRACDAT for program assessment
    - What data are needed for accreditation purposes
    - What data are needed for institutional research
    - Inputting Data
    - Generating Reports
- Using campus resources to meet specialized accreditation requirements

VI. Departmental Operations & Communication

Department Handbook/Bylaws

A. Template for Department Handbook
B. Guide for Revising or Drafting Departmental Bylaws
C. Example Bylaws from SUU's College of HSS

Whom to Call for Help

A. Budget Planning - Dean's Office, Provost's Office
B. Hiring - Human Resources OfficeR, Dean's Office, Provost's Office, CDO Office
C. Personnel Issues - Dean's Office, Provost's Office, Title IX Office, Human Resources Office
D. Requisitions - Purchasing Office
E. Scheduling - Provost's Office, Registrar's Office
F. Anything else - Dean's Office, Provost's Office

Unit Effectiveness Plans (UEPs)

A. Why?
    a. As outlined in the SUU 2016-2022 Strategic Plan, the division of Academic Affairs is expected to produce a series of Unit Effectiveness Plans (UEP) that will serve as the primary reporting tool to document progress made toward fulfilling SUU's overall mission.
    b. We anticipate that the UEPs will be helpful to Chairs, Deans, and the Provost in terms of planning and advocating for resources.
    c. Completed annually, the UEP will also assist departments and programs with the following: aligning administrative and educational activities, making timely changes as needed, and supporting successful leadership transitions as it documents changes and continuous improvement efforts over time.
    d. The UEP also assists the institution with documenting progress made toward overall student success, as well as fulfilling the standards of NWCCU accreditation.
B. How?
    a. The UEP document shows how academic departments and programs are aligned with the University's Mission, Vision, Core Themes, Strategies, Goals, and Objectives and contribute to the institution's Key Performance Indicators (KPIs).
C. Looking Ahead
    a. With the development of the new 2022-2027 Strategic Plan, the institution's Mission, Vision, Core Values, and Actions will prompt a new approach to collecting information from each department, provisionally called Department Annual Reports (DARs) to differentiate these from the prior UEPs. However, the new DARs will likely include some similarities

Listening Skills - CAST materials for Listening and Helping Skills

Shared Understanding of Departmental Mission, Vision, and Purpose

A. Article - Adrianna Kezar - The Importance of Shared Leadership and Collaboration

B. Guiding Questions
   a. Do faculty have a shared understanding of the departmental mission?
   b. How is community celebrated and fostered?
   c. Is collaboration and shared governance practiced at the departmental level?
   d. How are students involved in departmental decision-making?
   e. How does the department collaborate with the Division of Student Affairs to promote student success?

Objectivity, Fairness, and Consistency

A. Resource (p. 7, 11, 12 of this Fairness Guide)
   a. Fairness Triangle Adapted for Higher Ed. Institutions
      i. Relational Fairness
      ii. Substantive Fairness
      iii. Procedural Fairness
   b. Are your department's faculty valued for their contributions and their continual improvement, or are they nervous about politics, turf wars, and other fears?
   c. Can your faculty do what they feel is right, or are they compelled to do what is quick?

VII. Resource Management & Budget Planning

Terminology and Basics

A. Budget Office Terminology and FAQ

Types of Funds

A. E&G Funds (from state appropriations and tuition = "Education & General")
    a. One-Time
    b. Ongoing
B. Non-E&G
    a. Program Fees
    b. Scholarships
    c. Grants
    d. Revenue Accounts
    e. Other
C. Auxiliary Operations
    a. Housing, Bookstore, Food Service, etc.

Budget Cycle

A. Budget Office Website: https://www.suu.edu/ad/budget
B. Memo describing Budget Request Process
C. Budget Request or Transfer Forms - https://www.suu.edu/ad/budget/forms.html

Budget Requests

A. Budget requests should be made at a larger scale than your own level of authority. For example, Budget requests should be about initiatives that have goals, outcomes, assessment strategies, etc., that follow this Budget Request Template (from Bruce Tebbs).
B. Resource - New E&G Budget Request Form (from Budget Office)

Resources

A. Operational questions (purchasing, requisitions, etc.) - Contact the Purchasing Office (see Purchasing Office Training here)
B. All other questions (budget, planning, strategy, everything) - Contact Dean's Office and Provost's Office

Budgeting and spending explanations and examples; resource management. Payroll, requisitions, approval process, EPAFS, tracking finances, purchase orders, program fees, how to get money, departmental budgets, deadlines, approval process, faculty budget requests, student fees...controller forms, scholarships, awards, work study students

Budgeting and spending explanations and examples; resource management. Payroll, requisitions, approval process, EPAFS, tracking finances, purchase orders, program fees, how to get money, departmental budgets,

deadlines, approval process, faculty budget requests, student fees...controller forms, scholarships, awards, work study students

Definitions/Explanations

FOAPAL

EPAFs (Electronic Personnel Action Form)

- Required to be created and approved for any employee (faculty, staff, student) to be paid
- Types of EPAFs include overload non-teaching, overload teaching, adjunct overload, hourly student, and hourly non-student; each is funded differently

Fund Types

- E&G: Educational and General or State Appropriated Funds (000100)
- Revenue (Fund starts with a 0) / Grants (1 or2) / Gifts (5) / Endowments (6) / Auxiliaries (7) / Loans (8) / Other (9)
- Student Fees: University-wide Policy 11.8; Requests are reviewed annually [add link to calendar]
- Program Fees & Course Fees: Fees designated for different colleges, programs, or courses Policy 6.42

Vice President for Finance & Administration Office

Leadership

- Vice President, Finance & Administration (Marvin Dodge)
- Assistant to the Vice President for Business Strategy (Trisha Robertson)
- Assistant Vice President, Finance and Administration (Mitch Bealer)
- Assistant Vice President, Facilities Management (Tiger Funk)

Budget & Finance Departments

- Accounting Services
- Budget Office
- Internal Audit
- Purchasing

Accounting Services/ Controller's Office

- Leadership:
    - Controller (Brian Wright)
- Responsibilities: Payroll, Surplus, Accounts Receivable (A/R), Accounts Payable (A/P), Travel, Purchasing Cards
- Departments:
    - Payroll:
        - Responsibilities: Late Time Forms, Payroll Redistribution, W4s (Linda Font, Lindey Matheson, Angel Murnan)
        - Payroll dates
    - Surplus: Policy 7.6; Surplus property is property purchased by, seized by, or donated to, an institution which is no longer needed.
    - A/R:
        - Responsibilities:
    - A/P:
        - Responsibilities: Processing invoices for payment, Direct payments, W9s, 1099s

        - Direct payments (used for non-travel employee reimbursement, interview candidate travel reimbursement) From your my.SUU portal > Direct Payments. Instructions
        - Direct payments (used for Faculty Relocation Assistance Payments and other expense reimbursements)
        - Accounts Payable Specialists (Lindey Matheson, Kourtney Fails)
        - Send all payment requests to accountspayable@suu.edu. Other questions or concerns can be directed to Lindey or Kourtney.
- Travel:
    - Travel Authorizations: From your my.SUU portal https://my.suu.edu/travel/
        - Travel Advances
    - Travel Reimbursements: From your my.SUU portal https://my.suu.edu/travel/
    - Per Diem & Mileage Rates
- Accounting:
    - Academic Department Liaison (Chet Dalton)
    - Revenue/ Expenditure Transfers:
        - Expenditure transfers are correcting entries and should not be used to resolve budget overdrafts
        - An expenditure transfer is used to move an expense erroneously posted to a particular FOAPAL into the correct FOAPAL
        - Enter revenue and expenditure transactions into the SUU Expenditure / Revenue Transfer Request Google Sheet to move them
    - Requesting a vendor T#: send W9 to ?
    - Resources:
        - Accounting Services Training and Instructions (includes Banner, FOAPaL, Expenditure Transfer, Purchasing Card trainings)
        - Accounting Services FAQ
        - Accounting Services Forms (includes forms for travel, inventory, payroll, etc)

Budget Office

- Responsibilities: Provide accurate and timely monitoring, tracking and projection, and reporting of funds available to the University
- Points of Contact:
    - Director, Planning & Budget (Mary Jo Anderson)
    - Assistant Director, Planning & Budget (Zachary Murray)
    - Budget Analyst (Position control/salary budgets; budget transfers) (Tiffany Greenhalgh
- Resources:
    - Forms: Non E&G Budget Requests & Revisions, Budget Transfers, and E&G Funding Requests

Internal Audit

- Responsibilities: Assists with expenditure analysis, procedure appraisal, recommendations and counsel, and internal control and risk assessment training; responsible for purchasing card audits.
- Report An Ethical Concern (EthicsPoint)
- Points of Contact:
    - Director, Internal Audit (Steve Carpenter)
    - Audit Specialist (purchasing card audit) (Lynette Stone)

    - P-card auditors

Purchasing & Procurement

- Responsibilities: Purchasing cards, Bids, Request for Proposal (RFP) & Sole Source Declarations
- Purchasing Cards (used to purchase goods or services required to support the normal daily activity of your department):
    - Role responsibilities to understand: Account Manager, Supervisor, Allocator, and Audit Facilitator
    - Resources:
        - Purchasing Training (includes introductions to requisitions and purchase orders, bids, and purchasing cards)
        - Guidelines/Policies
        - Purchasing Card Guide
        - Sole Source Form
        - Policy 5.24
- Requisitions & Purchasing Orders (used for supplies, equipment, services, materials, and any contractual agreement): From your my.SUU portal > Finance Menu > Requisition
- Remember:
    - Only the purchasing office personnel are authorized to sign agreements that involve University funds and the only personnel authorized to sign contracts are Brad Brown, Marvin Dodge, and Mindy Benson
    - If what you're purchasing is customized you have to go through purchasing and marketing
    - If you're making a work-related purchase and you aren't sure-- ask Marisa Foster (Requisitions & Purchasing Orders), Danae Wade (Purchasing Cards), Dan Camp, or Brad Brown

Academic Budgets

- Overall academic budget oversight, Business Manager (Lisa Swanson)
- EPAF reviews and approval, academic budget support (Allison Bulloch)
- Responsibilities:
- Program Fees: info here with links
- Area 2: info here with links
- Topic 3: info here with links
- Anything important to mention

VIII. Systems & Data Sources

- Access to campus databases has to be requested, often requesting specific types of access. That can be done here. Must have completed FERPA training in the last year to request any new access.
- Banner
    - Database that holds all University data (financial, personnel, schedules, etc)
    - Access required; My.suu.edu
- Argos
    - Banner reporting system; existing reports or request new reports as needed
    - Academic folder allows you to pull Class information, faculty load & teaching times, lists of graduating seniors, etc.
    - This pulls reports of the info in Banner. Custom reports can be created tailored to your needs.
- Canvas
    - SUU's Learning Management System
    - OTL extensive resources can be found here.
- MySUU portal
    - APPS section
        - Approval Queue
            - Pending Approvals
            - Submitted Approvals
            - Approval History
        - Guest Wireless
            - This is the wireless network and password for campus guests. Changes quarterly.
- Success Hub (via the mySUU Portal)
    - New system replacing LINK
    - Provides lots of detailed information on individual students
    - Easy to email or text students. Pro tip, send a detailed email, then text student to please review the email just sent regarding ____
- Astra
    - Room scheduling dashboard, allows you to view what's booked, at what times. Useful when scheduling meetings in your building, or see when a specific classroom is available during the day.

IX. University Organization, Policies, Strategic Plan

Southern Utah University (SUU) is a member institution of the Utah System Higher Education (USHE) and operates under the authority of the Utah Board of Higher Education. SUU is granted authority to award credits and degrees under Title 53B of the Utah Code Annotated (1953) and the Utah System of Higher Education Act of 1969.

SUU's organizational structure is depicted in various documents located on the policies page (Section 4) and operates under the guidance of the SUU Board of Trustees (appointed by the Governor), the SUU President, and the President's Council.

SUU's current Strategic Plan (2016-2022) has guided the University's operations for the past six years. A new strategic planning process started in 2021 and a new Strategic Plan is anticipated to be approved in 2022.

X. Support Offices / Units

Campus Resources (these are mostly student-facing, but it is still a helpful list of campus resources)

Whom to Call for Help

A. Budget Planning - Dean's Office, Provost's Office
B. Hiring - Human Resources OfficeR, Dean's Office, Provost's Office, CDO Office
C. Personnel Issues - Dean's Office, Provost's Office, Title IX Office, Human Resources Office
D. Requisitions - Purchasing Office
E. Scheduling - Provost's Office, Registrar's Office
F. Anything else - Dean's Office, Provost's Office

XI. Glossary & Further Reading

Glossary of Terms

<< coming soon >>

Further Reading on Academic Leadership

- Hendrickson, et al., *Academic Leadership and Governance of Higher Education*
- Bolman and Gallos, *Reframing Academic Leadership*
- Brinkman and Kushman, *Dealing with People You Can't Stand*
- Chu, *The Department Chair Primer: What Chairs Need to Know and Do to Make a Difference*
- McNair, et al., *Becoming a Student-Ready College: A New Culture of Leadership for Student Success*