



California State University  
**MONTEREY BAY**  
University Personnel

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# Department Chair Handbook<sup>1</sup> 2020

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<sup>1</sup> Portions of this handbook are used with permission from the [San Diego State University](#) and [Humboldt State University](#) Department Chair Handbook.

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## CHAPTER I: ROLE AND RESPONSIBILITY OF CHAIRS

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*The Chair or head of a department... serves as the chief representative of the department within an institution. ... Board, administration, and faculty should all bear in mind that the department Chair or head has a special obligation to build a department strong in scholarship and teaching capacity.*

AAUP Statement on Government of Colleges and Universities <http://www.aaup.org>

April 19, 2004

While the Collective Bargaining Agreement between the California State University (CSU) and the California Faculty Association (CFA) is largely silent on matters pertaining to the role of the department Chair, the statement jointly formulated by the American Association of University Professors, the American Council on Education (ACE), and the Association of Governing Boards of Universities and Colleges (AGB) captures the essence of the commitment. Moreover, its support for scholarship and teaching capacity resonates with CSUMB's focus on mutual respect and cooperative learning, core elements of CSUMB's [Mission, Vision and Values](#).

### POSITION DESCRIPTION

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

It is in the best interests of the department and the academic programs that department Chairs maintain positive working relationships with the faculty and staff. Communication should be open, honest, principled, and operate on a two-way exchange where faculty and department Chair input is sought and respected.

### RESPONSIBILITIES OF THE DEPARTMENT CHAIR

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The functions identified are those assigned to all department Chairs at CSUMB. In all cases, the Chair needs to consult extensively with the members of the unit to assure that the best thinking of the department has been brought to bear on the issues, but must also be prepared to make his or her own personal best judgment on each matter. The department Chair will also work closely with the Dean's Office to realize larger objectives of the program, liaison across college and external units, and support shared governance within and outside the college.

The Department Chair responsibilities are outlined in CSUMB's "[Department Chair Appointment and Evaluation Policy](#)," section 2.00 and are reproduced below. Although not exhaustive, the list covers the most common duties of the department Chair:

#### Department Governance

- Keeps faculty informed of department, college, and university plans, activities and expectations
- Coordinates development and implementation of department governance structure, policy, and procedures
- Coordinates faculty involvement in department responsibilities, as appropriate.
- Presides over department meetings
- Establishes department committees in consultation with the faculty.
- Facilitates election of department RTP Committee

- Represents the department to the (Associate) Dean and campus community
- Communicates decisions by the (Associate) Dean and university back to the department
- Addresses conflicts and attempts to resolve problems between faculty, students and staff using existing processes, guidelines, and resources
- Models and maintains confidentiality with regard to performance reviews, personnel decisions, grievances, etc., and encourages others to do so
- Works with faculty to develop Annual Faculty Workload Agreements

#### Curriculum and Instruction

- Develops course schedules, in consultation with the faculty and (Associate) Dean, that reflect the department's range of course offerings and fosters student learning
- Works with faculty to create and manage curriculum including changes and revisions
- Leads the department in carrying out required reviews (both internal and external) of curricula and assessment of student learning outcomes
- Leads or participates in departmental accreditation activities, as appropriate
- Considers departmental retention and graduation rates, recommending adjustments that enhance student success
- Works in consultation with the Dean's Office on curricular planning, short- and long-term

#### Faculty Affairs and Professional Development

- Fosters high-quality teaching and learning in the department
- Approves and facilitates faculty grant and contract work including pre- and post- award activities
- Assists probationary faculty in understanding the evaluation process and criteria for retention, tenure, and promotion and in presenting accurate and effective Working Personnel Action Files (WPAFs)
- Exercises leadership in recruiting tenure-line faculty; ensures that requests for positions are appropriately submitted, search committees selected, candidates interviewed, and appointments recommended in accordance with university policies and procedures
- May write letters of evaluation for department faculty during the RTP process
- Follows hiring protocols and the CSU/CFA Collective Bargaining Agreement for appointment of lecturers
- Mentors, evaluates, and provides feedback to lecturers

#### Students

- Facilitates resolution of administrative difficulties that students may encounter
- Considers and responds to students' comments and suggestions about courses, instructors and programs
- Responds to student requests for waiver of departmental regulations, independent study proposals, internships and related special student concerns. Ensures successful and timely completion of incomplete grades
- Manages formal [student grade appeal process](#)
- Fosters student success through mentorship and career advising

### Staff Personnel

- Exercises leadership in the selection and appointment of staff personnel, including student assistants working for the department
- Provides daily oversight and work direction to staff assigned to the department and participates in the evaluation process for departmental staff
- Encourages and supports staff training and development
- Fosters collegial and productive relationships among faculty, staff and students

### Budget and Resources

- Manages department activities to meet FTES targets
- Administers the departmental budget and any departmental trust accounts in consultation with department faculty and the Dean's Office
- Oversees the ordering of department equipment and supplies
- In consultation with appropriate department personnel, develops and implements appropriate procedures for the use, maintenance and repair of equipment

### External Relations

- Works with the Dean's Office and University Development to promote the department outside the university community
- Promotes discipline-based contact with appropriate off-campus groups, including community college faculty, high school teachers, community organizations, professional organizations, private companies, alumni, etc.
- Maintains and enhances the department's image and reputation outside the university

## CHAPTER II: LEADERSHIP

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Academic leadership has produced a cottage industry of books, blogs, and other publications because of the unusual nature of the work. A department Chair has a particularly unique role, straddling, as it does, the world of faculty and of administrator. To support the success of CSUMB's students, you work closely with faculty, staff, and students, each of whom bring their own sets of strengths and needs. Personal goals for individuals within the department may not align with departmental or college goals, and the department Chair must navigate both this reality and the notion of academic freedom enjoyed by the faculty, both of which can pose major challenges for a Chair. Further, the Chair must balance these realities while keeping an eye on policy, process, and the department as a whole and as it exists within the world of the college and University.

While these responsibilities can feel overwhelming, a Chair never needs to operate alone. Central to the role is the advancement of shared governance, which necessarily includes partnerships with faculty governance systems, administrative units (particularly your Dean's Office), individual faculty and committees, the departmental and college staff, staff of other units, and with the students themselves. Moving cooperatively toward negotiated and shared goals is vital to supporting student success. A few guidelines may be helpful in envisioning your leadership:

1. A strong Chair looks at the big picture and doesn't avoid problem solving.
2. A strong Chair conveys to the faculty the advantages of shared vision.
3. A strong Chair is a consensus builder.
4. A strong Chair builds trust by being honest and open-minded.
5. A strong Chair persuades the faculty to focus, collaborate, and contribute.
6. A strong Chair leads the faculty to articulate the long-term goals of the department.
7. A strong Chair accentuates the positive.

In order to have a maximum impact, a strong Chair will work with the faculty to identify existing strengths and find ways to direct resources for the benefit of the whole department. The Chair will guide the faculty in setting priorities and help them focus their energies and attention on achieving departmental goals centered on faculty retention and productivity and ultimately, student success.

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

- Buller, Jeffrey. *The Essential Department Chair: A Comprehensive Desk Reference*. (Jossey-Bass, 2012).
- Chu, Don, *The Department Chair Primer: Leading and Managing Academic Departments* (Bolton, MA: Anker Publishing, 2006)
- Crookson, R. Kenneth. *Working with Problem Faculty: A Six-Step Guide for Department Chairs*. (Jossey-Bass, 2012).
- Gmelch, Walter H. and Val D. Miskin, *Chairing an Academic Department* (Madison, WI: Atwood Publishing, 2004)
- Gunsalus, C.K., *The College Administrator's Survival Guide* (Cambridge, MA: Harvard University Press, 2006)
- Gutierrez y Muhs, Gabriela, and Yolanda Flores Niemman. *Presumed Incompetent: The Intersections of Race and Class for Women in Academia*. (Logan: Utah State University Press, 2012)
- Higgerson, Mary Lou, *Communication Skills for Department Chairs* (Bolton, MA: Anker Publishing, 1996)

On a lighter but useful note: Munger, Michael C. “[Ten Suggestions for a New Department Chair](#)”

## CHAPTER III: MANAGEMENT

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### POLICIES AND PROCEDURES

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All departments should have written policies and procedures. Although we have a [University Policy website](#) and colleges have their own policies and procedures, departments should have a written record documenting expectations for faculty, especially regarding personnel issues. At a minimum, the department should have policies on Retention, Tenure, and Promotion (RTP) criteria and procedures and on procedures for periodic evaluations and appointment of lecturers. The faculty may wish to identify other areas in which it would be helpful to have written departmental policies. All departmental policies should be approved by a majority of the tenure-line faculty and the College Dean and be in alignment with the relevant University Policies and collective bargaining agreements (CBA).

As department Chair, you will be considered the policy expert, though your Dean’s Office and the Provost’s Office are always willing to provide assistance in these matters. Faculty may come to you with all kinds of needs: to seek approval for rescheduling classes, to ask you about departmental policies on adding students during the schedule adjustment period, to question you about student evaluation or withdrawal procedures, to request assistance with troubling classroom dynamics, or to find out about responsibilities regarding field trips,

among other things. They will expect you to know the answers to their questions. Be as informed as possible about your departmental, college, and university policies, and if you need assistance, please contact your Dean's Office. Familiarize yourself with the Unit 3 Collective Bargaining Agreement and consult campus experts on any of your responsibilities with which you do not feel entirely at home. When in doubt, ask your Dean's Office or University Personnel (UP). Adopt a phrase such as "Let me look into that, and get back to you." Then take care that you do.

## CLASS SCHEDULING

Components of class scheduling may be delegated, but the overall responsibility rests with the department Chair. The Unit 3 CBA authorizes the "appropriate administrator" (the (Associate) Dean or their MPP designee) to make instructional assignments after consultation with the department Chair and/or the individual faculty member. In practice, this means that the Chair, after consultation with the faculty, submits a schedule to the Dean's Office for review and approval prior to the submission of the schedule to Academic and Centralized Scheduling. Faculty members have the right to express their preferences, and the principle of consultation is taken very seriously in grievance arbitrations. Nonetheless, the final determination of what is best for the department and the students belongs to you and your (Associate) Dean and is determined on the basis of catalog commitment to degree pathways and student success.

The Chair also has responsibility for hiring the faculty to teach the scheduled courses (see [Chapter IV, Faculty](#)).

Schedules are created in the department well in advance of the semester to which they pertain, adhering to deadlines set by Academic Scheduling. Academic Scheduling sends out an email communication to all colleges and departments, twice a year for the fall and spring semesters to assist with planning schedules. Planning for future terms should begin as early as immediately after Census of the same term in the current year or sooner, based on Academic scheduling notification.

Schedules for the current academic year and archive can be obtained on the [Class Schedule website](#).

One key element to facilitating students' time to degree completion are course offerings during both summer and winter Intersession offered at CSUMB. Chairs play a critical role in determining course offerings for their department(s), soliciting and securing faculty who voluntarily wish to teach during these sessions. Particular attention should be given to those high demand major and GE (both lower and upper division) courses that allow students the opportunity to stay on track and/or accelerate their time to degree completion. This becomes an opportunity to evaluate academic year (AY) schedules in crafting course offering during these terms.

Classes during Winter and Summer Sessions may be offered if the following condition has been satisfied: Any class offered during a self-support summer or winter term must have at a minimum one of the same sections offered during the Fall or Spring Semester. Summer is considered a trailing term, therefore if a class neither appears nor is offered during the prior Spring or Fall term it may not be offered in either Summer or Winter Intersession of that subsequent term. Any such offering would be considered supplanting as defined by EO 1099.

## WORKLOAD REPORTS

Faculty workload reconciliation is handled by the Dean's Office in collaboration with Academic Scheduling. The Dean's analyst works with their respective academic department Chairs on the faculty workload reconciliation and submission to Academic Scheduling.

It is permissible for a tenure-line faculty assignment to average 12 WTUs over an academic year. Full-time tenured and probationary faculty members are allowed to exceed 12 WTUs due to supervision workload. However, faculty in the Faculty Early Retirement Program ([FERP](#)), tenure line faculty members on a reduced schedule, and lecturers cannot exceed their appointment due to supervision. Lecturers may be offered new or

additional work that takes them over 15 WTUs. This is called the “16<sup>th</sup> unit” provision, and it was agreed upon by CSU and CFA in 2007. Lecturers cannot be paid on a basis greater than 1.0, but they can receive an unconditional, full-time contract as a result of a “16-unit” assignment.

## BUDGETING

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A department Chair must work with several kinds of budgets: the Payroll budget (tenure-line faculty and support staff salaries), the Operating and Equipment (O&E) budget, the Foundation (donations to your department), and the [Sponsored Programs Office](#) budget (monies earned by departmental scholarship activities). Base salary and O&E budgets are loaded into the Common Financial System (CFS) by the campus Budget Office. Academic Affairs allocates the part time instructional budget to the colleges, and the Dean’s Office allocates it to the departments. Instructional budgets for lecturers vary from year to year. The amount available is dependent on various factors, such as fiscal condition of the state of California, CSUMB full-time equivalent student (FTES) target and the actual enrollment number, as well as CSUMB campus-wide budget conditions. In a department that seeks grants and contracts, an influx of grant funds can affect the allocation of the state budget. Grants and contracts can create a degree of uncertainty in the budget process, since you do not always know at the beginning of a school year if or when a grant may be awarded. Adjustments in funds and teaching schedules plus reimbursed time also create a complex budgeting and scheduling system for a department Chair.

Budget overruns by a faculty member on a grant also may create serious problems for the Chair, since the [University Corporation at Monterey Bay](#) – the 501(c)(3) auxiliary through which grants and contracts are handled – will try to collect the difference from the department if the PI does not have enough Incentive funds to cover the overage (see [Chapter IX](#) for more about the Sponsored Programs Office). Department Chairs do not have much in the way of discretionary funding to deal with such shortfalls and may have to turn to the Dean’s Office for an allocation from college funds.

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

Space allocations and equipment funds need to be negotiated with the Dean’s Office. However, as with many other resources both space allocations and equipment funds are in scarce supply. Departmental requests for both are generally viewed more favorably if tied to department goals and program development as articulated in the program review self-study and program improvement plan. It is a good idea to keep future needs in mind and to have a well-formulated plan in the file should an unexpected source of funds become available. Chairs often receive short notice to come up with equipment or space requests. Of course, if the needs for space involve acquiring a new space, a building or significant renovation, they will have to be approved by the Dean’s Office and then routed to the Provost’s Office for final approval. Chairs should also be aware that the funding basis of some buildings results in restrictions on the types of space allowed. When in doubt, contact the Dean’s Office for guidance.

The Dean’s Office coordinates purchasing for new and replacement equipment with the appropriate campus authority.

## ADDITIONAL AND OUTSIDE EMPLOYMENT

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The CSU Additional Employment Policy applies to all faculty and staff at CSUMB or any of its authorized auxiliary organizations and applies to multiple appointments compensated by the University, regardless of the source of funding. Such employment includes appointments at any regular CSU program or auxiliary organization as well as appointments on more than one campus in the CSU. The policy establishes that at any

point in time, an employee may not exceed 125% on their total amount of employment within the CSU system. Additional employment limitations are based on timebase, not salary. Consult UP for application of this policy at CSUMB.

Outside employment is any employment not compensated through the CSU payroll, including CSU foundation and CSU auxiliary employment. Outside employment may not conflict with normal work assignments or satisfactory performance of all duties of the employee. All full-time faculty members and all MPPs must complete an annual statement of outside employment.

## CURRICULUM (UNDERGRADUATE AND GRADUATE)

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The faculty is responsible for designing, implementing, and evaluating the curriculum, and the department Chair is responsible for overseeing these activities. The Chair's role is to support faculty as they carry out these responsibilities and provide the resources needed to implement faculty plans. However, curriculum decisions may, at times, negatively impact the budget. In that event the Chair and the faculty must jointly find a way to create needed change in a cost-effective way. If presented with the financial facts of the matter, faculty members often help find a creative solution. As in other situations, the faculty is a great source of wisdom and experience that can be counted on to pitch in and make things happen. The Chair is responsible for assuring that the departmental or program curriculum committee meets regularly, has a Chair who represents the program on the College Curriculum Committee and that curriculum is coherent, mission-driven, and moves forward effectively. The Dean's Office is a valuable asset in determining data-driven and mission critical opportunities for curricular development toward student success.

## ASSESSMENT

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Each degree and certificate program have a set of student learning outcomes that define what a student should be able to do upon graduation. Assessment is a process whereby a department ensures that students are meeting outcomes and identifies course- and program-level changes that improve student learning and success. Assessment is the responsibility of all faculty in a department, but the coordination may rest with one individual or a small group or committee. Assessment is a primary evaluative tool in program review, which is described below. The university provides a number of resources to assist faculty in developing student learning outcomes, creating a curricular map to ensure proper scaffolding, collecting evidence, and responding to assessment results. [The Center for Teaching, Learning, and Assessment \(TLA\)](#) provides consulting and arranges workshops and development opportunities throughout the year. Each college also has a designated Faculty Associate funded by the Provost's Office to assist, give advice, and point to resources. Program-level assessment of student learning is led by the Senate Assessment Committee and assisted by the AVP for Academic Planning and Institutional Effectiveness and the Director of TLA.

Assessment also occurs at the university level where faculty leaders on the Senate Assessment Committee are engaged in evaluation of the [Institutional Learning Outcomes](#). Departments are asked to assist in this very critical work by providing samples of student work on request.

## PROGRAM REVIEWS

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To maintain and strengthen the quality of academic programs, university policy mandates that academic reviews be conducted periodically. Program review is a cyclical process consisting of a self-study, development of a program improvement plan, and annual assessment of student learning (see also Assessment). An overview of program review and a copy of the latest procedures manual can be found on the [Academic Affairs website](#). Program review is a process facilitated by the Chair with the support of the (Associate) Dean and relies on regular, ongoing evaluative work in the program. It draws on the collected evidence in consultation with the (Associate) Dean, Institutional Assessment and Research (IAR), TLA, and

the collective endeavor of the faculty in the program. It should include all faculty in the department and is intended to be the primary strategic planning effort for a degree or certificate program.

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## EXTENDED EDUCATION

Each department Chair plays an integral role in Extended Education and International Program's (EEIP) mission to support all students both foreign and domestic at CSUMB.

Chairs have the responsibility to ensure that any degree program offered through their College and department maintain the same level of academic quality, rigor, and assessment of student learning outcomes as their state-side counterpart (if applicable). Chairs oversee degree programs assigned to the Program Director. Chairs also maintain an open line of communication with EEIP management regarding course scheduling, faculty teaching assignments, and any programmatic changes that may have an impact on self-support operations. All curriculum building and course scheduling follows the same approval processes as state-side.

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## PROFESSIONAL TRAVEL AND ABSENCES FROM CAMPUS

The University has established policies regarding professional travel and reimbursement. Professional activities that warrant travel during the academic year include trips made for professional training and (most commonly) trips to professional meetings, conferences, workshops and colloquia. This section of the Chair's Handbook provides an overview of the travel matters that will be of most concern to you. You can find much more detailed information on the [Travel Policies and Procedures page](#). If you are not able to locate the information you need, contact your College Administrative Support Coordinator (ASC) or Administrative Analyst.

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## AUTHORIZATION TO TRAVEL

All professional travel requires the submission of a [Request for Approval of Travel](#) (RAT) form prior to departure even if reimbursement is not requested. The traveler and the Chair must sign all RAT forms, which are then forwarded to the Dean's Office for final approval. The Dean's Office then submits the RAT forms to Accounts Payable. Travelers do not need to submit RAT forms for personal vacations or other non-business activity, but faculty members must submit the forms when they travel on CSUMB-related business during winter and summer breaks. The faculty may also need to be reminded from time to time that the Chair must approve all absences during the semester and all arrangements to cover classes or other assignments. If a Travel Advance is requested, the original RAT must be submitted to the Travel Desk at least 10 working days before the trip. If international travel is involved, the RAT must be submitted no less than 30 working days prior to departure to allow for procurement of travel insurance.

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## REIMBURSEMENT

Each college may have its own reimbursement policies and funding allocations. Chairs should remind faculty and staff that the colleges do not necessarily guarantee total reimbursement and that travel funds may be considerably less than the total cost of the travel. Faculty and staff members seeking reimbursement must submit within 60 days after completing their travel an itemized [Travel Expense Claim](#) (TEC), along with supporting documents, including original receipts. After signing, the travel claim is sent to the department or Dean's Office to be signed. The Dean's Office will forward the TEC as appropriate. Please refer to the [Travel Policies and Procedures page](#) for additional detail. All employees driving for CSUMB business must complete the steps listed on the [Driving on University Business](#) page.

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## TRAVEL ADVANCES

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At the employee's request and under certain conditions, Accounts Payable may issue a travel advance before travel is undertaken. This request should be indicated on the RAT form and submitted to Accounts Payable at least 10 days before travel commences. Travel advances are not to exceed 75% of the maximum dollar amount authorized by the college/department. If a trip is canceled or postponed, the advance must be returned as soon as possible. Accounting Services will email the employee when travel advance checks are available for pick-up.

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## CAR RENTAL

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The primary car rental vendors are Enterprise Rent-A-Car or National for all CSUMB travel. Use of another vendor will require prior justification. Your college ASC or Analyst can provide further information.

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## WORKING WITH THE ASSOCIATE DEAN AND THE DEAN

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The Dean is the designated leader of the college. The Deans and Associate Deans interact with the central university administration on all matters pertaining to the business of the college. In that role, they represent the departments under their jurisdiction. They need to be well-informed about a department's activities and plans. They need to be able to negotiate for the resources that enable a department to carry out its mission. Open communication between the two parties is essential toward creating a strong academic environment. Information needs to flow between the Dean's Office and the department Chair on a consistent and timely basis. In general, your Dean's Office, including the administrative staff, can be your most valuable ally in running the department. Whether an issue concerns faculty, staff, equipment, travel, or space, the (Associate) Dean is a key gatekeeper as well as stakeholder in supporting and maintaining quality departments.

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## WORKING WITH COLLEAGUES

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Among the most complex of responsibilities for any Chair are the dynamics of interpersonal relationships within the department, including those among tenure-line faculty, lecturers, administrators, and staff. A strong department Chair will have a vision for the department and interpret that vision for the faculty. At the same time, a strong Chair will encourage faculty members to articulate their vision and then coordinate both for the benefit of the department. If these perspectives are discordant or contradictory, the Chair should negotiate with faculty to find the common ground. As noted below, communication in a department is critical to the morale and vitality of the organization. As long as all points of view are heard and respected, it should be possible to articulate a mission that the faculty can support. However, when conflict cannot be resolved, the Chair needs to know to whom to turn (see [Chapter IV, Addressing Conflict](#)).

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## WORKING WITH THE ADMINISTRATIVE SUPPORT STAFF

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Department staff can provide significant support for the smooth operation of the department and the programs offered by the faculty. A key member of the staff is the administrative support assistant (ASA) or coordinator (ASC), who often handles the department's fiscal and physical resources, communicates with other university offices, provides general support to the faculty, and acts as the initial point of contact for students and the public. For the Chair, the support of the ASA or ASC is an invaluable asset. It requires a shared trust and an open, dependable working relationship. While the Chair sets the overall operational direction for the department and provides departmental oversight, the ASA or ASC should be able to work toward those outcomes with minimum direction. The ASA or ASC may be responsible for overseeing other staff members,

including student assistants, and maintaining a harmonious working relationship and atmosphere in the department office. The Chair sets the tone and may be responsible for evaluating the ASA, ASC, and other staff members. The Chair and the support staff should clearly establish an understanding of what work is to be delegated to the staff and communicate that scope of work clearly to the faculty. It is important to let both staff and faculty know that work direction for staff comes from the Chair and not the individual faculty. Where there are program coordinators, the distribution of authority in relation to the staff needs to be made clear so that department staff are not getting mixed messages or conflicting directions on the job. It is very important that the Chair ensures that faculty have a clear understanding of the role of the staff coordinator. Having clear and shared understanding of the job description is key.

## EFFECTIVE MEETINGS AND COMMUNICATION

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

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

## CONFLICT MANAGEMENT

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

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

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

The practical skills of dealing with conflict may involve negotiation or complaint handling. Each conflict calls for a different set of skills. First, be clear about the role you are playing as people approach you with problems. CK Gunsalas’ *The College Administrator’s Survival Guide* provides guidelines to bear in mind when addressing complaints: When dealing with complaints, there are certain guidelines to keep in mind:

- Do not take it personally.
- Never act on one side of the story.
- Nobody knows what EVERYBODY knows.
- When in doubt, leave it out of the report.
- Never attribute to malice that which incompetence will explain.
- Say what you will do; do what you say, and set time frames.
- In the absence of facts people make them up, so plan accordingly.
- Keep notes but stick to the facts. Do not include your opinion. The notes can be subpoenaed.
- Trust your instincts; do not let your fear guide you.
- Some problems require that formal processes be invoked. So be it.
- Be hard on the problem but soft on the people.<sup>1\*</sup>

Here are some key questions and sentences that help manage the complaint:

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<sup>1</sup> □ Conflict Management material by CK Gunsalas, J.D., University of Illinois, 2004

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

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

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## CHAPTER IV: FACULTY

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### RECRUITMENT OF TENURE LINE FACULTY

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The faculty is the lifeblood of your department and you should be targeting the best talent available for your searches. Despite our semi-competitive salaries, the cost of living in California as compared to other regions of the county, and our rural setting, many people are drawn to Monterey. CSUMB has demonstrated time and again that top candidates can be successfully recruited. UP has prepared a detailed guide on the recruitment process for tenure-line faculty, which can be found on the [UP website](#).

### RECRUITMENT AND APPOINTMENT OF LECTURERS

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

Persons interested in obtaining lecturer positions will likely contact you on their own. Encourage them to visit the Open Faculty positions for lecturers to complete an online application for any position in which they are interested. It is a good idea to maintain a file of potential lecturers with copies of their curriculum vitae. In addition, the CFA-CSU Bargaining Agreement requires you to maintain a list of all lecturers who have been evaluated by the department including the courses they have taught (Article 12.7). You should consult that list when offering work during the

academic year or for the next year and give those individuals “careful consideration” (see below for more on this concept).

After completing the recruitment process (application review, candidate interview, reference and background checks, and final selection by (Associate) Dean), your ASC will generate a Candidate Recommendation Form (CRF). This must be attached to a copy of the applicant’s curriculum vita and other recruitment paperwork and submitted to your Dean's Office. The Dean’s Office staff will forward the paperwork to UP who will conduct a compliance review and send out the appointment notification. An initial appointment may be for one semester or one year. After the initial appointment, the CFA-CSU Bargaining Agreement sets out the considerations for future appointments. Please see the first bullet point below. Before classes begin, the new lecturer must report to UP to complete the new hire paperwork. Failure to complete the necessary paperwork on the first day of the contract will result in a delay of hire, which may impact CalPERS eligibility. You should also initiate the paperwork with Facilities for any key-card access the lecturer may need. Colleges may have particular notification requirements for approval of key card access in space tracking.

The rules regarding the appointment and evaluation of lecturers are among the most complicated in the CFA-CSU [Collective Bargaining Agreement](#). It is highly recommended that Chairs carefully read [Article 12](#), especially 12.3, 12.5, 12.6, 12.7, 12.12, 12.13, and 12.29. Here are the key points every Chair must know about the Assignment of Work in Article 12:

- Once a part-time lecturer has taught two (2) consecutive semesters within one academic year and the Chair decides to re-appoint the part-time lecturer, the starting time base assumption is to be re-appointed to a similar assignment. This means that if the Chair rehires a lecturer who taught 12 units in the prior year, the lecturer should be appointed to teach 12 units. However, this assumption is subject to the lecturer’s qualifications, the campus budget, and class enrollment. Thus, if due to budget and enrollment, 12 units are no longer available and the Chair still wants to reappoint the lecturer, the Chair may appoint the lecturer to any number of units for which the lecturer is qualified to teach. These units can be distributed in any manner across the academic year. Keep in mind, that AY lecturers lose their benefits if they fall below .40 in any semester, so, whenever possible, distribute their work equitably and compassionately. UP is always available to consult with Chairs on appointment questions.
- If a lecturer has taught at least one semester in each of six (6) consecutive years, the lecturer is entitled to a cumulative evaluation. If the cumulative evaluation is satisfactory, the lecturer will receive a three-year appointment in the seventh year. The entitlement of the appointment is based on the units accepted in the sixth year. For part-time, three-year lecturers, the assigning of units follows the same process as outlined in the bullet point above. If you are unsure about the timebase, be sure to consult with UP.
- Lecturers holding three-year appointments have the expectation of receiving subsequent appointments except in cases of documented needs improvement or unsatisfactory performance or serious conduct problems. The time base of the subsequent appointment follows the same process as outlined above. If you do not have sufficient work to meet the similar assignment, you may offer whatever work is available; however, if this assignment changes in the third year of the appointment, it may establish a new amount of entitlement. Again, please consult UP with any questions.
- All lecturers are to receive an annual periodic evaluation (see below). When lecturers apply for reappointment, they have the contractual right to “careful consideration.” There is a body of arbitration decisions commenting upon the meaning of careful consideration (see Appendix IV). You should be able to provide evidence that you looked carefully at previous periodic evaluations and based your hiring decision on a reasoned assessment of the

candidate's performance. Evidence that you have reviewed the Personnel Action File (PAF) is, first and foremost, provided by a signed access log. So make sure that every PAF has a log, and any time you or anyone else involved in hiring decisions looks at it, sign the log!

- Article 12.29 sets guidelines for assigning “new or additional” work. That is, work left over after you have made assignments to all current tenured, probationary, and lecturer faculty members. First, offer the additional work up to a 1.0 timebase to 3-year part-time lecturers or to part-time lecturers holding a one year appointment who are objectively demonstrably better qualified as determined by the Chair; then, offer the additional work to one year parttime lecturers; and then, if work is still available, offer the additional work to any other qualified candidate.
- As you can see, lecturers have many rights in the CSU system. Assuming they have received satisfactory performance evaluations, they have considerable workplace security. For this reason, it is essential that you write honest evaluations of your lecturers. Although the similar assignment and three-year contract provisions give part-time lecturers considerable security, all appointments are subject to qualifications, budget, and enrollment. At times, it may be necessary to reduce a lecturer's time base, even to zero. Continuing part-time lecturers whose original time base must be reduced must be sent a letter and/or a revised contract for each change. A revised CRF must also be sent to UP. UP will send an “appointment notification letter” after the revised CRF is received. These lecturers may also need to be placed on a re-employment list as explained above.

Classes may be cancelled at any time prior to the third class meeting. If a class is cancelled, the employee shall be paid for class hours taught. If it is cancelled on or after the third class meeting, the faculty unit member must be paid for the entire class or provided with an alternate work assignment (Article 12.5). Full-time lecturer appointments are unconditional; as such, if the fulltime status is not maintained, the faculty unit member would be subject to layoff rights. The campus may not call a layoff (only the Chancellor's Office can). Should this situation arise, the Chair must contact UP immediately.

## PERSONNEL FILES

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The Personnel Action File (PAF) is the one official file for employment information and information relevant to personnel recommendations and actions. UP maintains PAFs for all faculty members. Copies of some material contained in the official file may be maintained in other offices for convenience. Keep in mind that only the official PAF may be used as the basis for personnel actions. When reviewing a PAF, the Chair must always sign the access log.

For any materials to be placed into the faculty member's PAF, the faculty member must be given notification five (5) days prior to placing the materials.

## RETENTION, TENURE, AND PROMOTION PROCEDURES

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The University's policies on Retention, Tenure, and Promotion (RTP) were revised in 2011 and can be located on the [CSUMB Policy Page](#). Helpful documents are also available on the UP website.

The RTP criteria include teaching and learning, scholarly achievement in the areas of discovery, creation and integration, professional application and University service. These criteria can be found in the [Appendices of the RTP policy](#). According to the CFA-CSU Agreement, the primary professional responsibilities of instructional faculty members are teaching, research, scholarship and creative activity, and service to the University, profession, and to the community.

The Chair of the department has several responsibilities in the RTP process. First, the Chair must assure that all such faculty members in the department undergoing review are apprised of the criteria set out by the department, the college, and the university. Second, the Chair should mentor probationary faculty so they make their best efforts to fulfill the criteria and assemble a clear and convincing case for reappointment, tenure, and promotion. In the review process, the Chair must facilitate/organize the election for the Department RTP Committee, initiate requests for external letters of evaluation when appropriate, and may also submit a letter to the candidate's WPAF commenting on contributions the candidate has made to the department and his or her strengths and opportunities in each scholarship area.

Writing such a letter is one of the most important decisions of a Chair and should be taken very seriously. The Chair's recommendation is one of the pieces of evidence used by subsequent reviewers, the Provost, and the President to determine whether a colleague shall remain in the university and/or whether he or she shall be promoted to higher rank. RTP decisions are based entirely on the written record including the WPAF and the Personnel Action File (PAF). Hearsay, observation, personal interactions or conversations, or other extraneous information not documented in the WPAF or PAF may not be considered.

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

## PERIODIC EVALUATIONS

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Periodic evaluations differ from performance reviews in that they do not culminate in a recommendation for any action regarding reappointment. They are strictly evaluations of professional competence. Three categories of faculty employees undergo periodic evaluations: probationary faculty in the first, third, and fifth years of their RTP cycle, tenured faculty, and temporary faculty (lecturers). It is very important not to refer to these evaluations as performance reviews. The latter are reserved only for probationary and tenured faculty requesting an action such as reappointment, tenure, or promotion.

***All faculty who are to undergo periodic evaluations must be notified by the Department Chair within 14 days of the beginning of the semester of the procedures and criteria to be used. Procedures and criteria may not be changed subsequent to notification.***

Probationary faculty members in the first, third, and fifth years of their RTP cycle receive a periodic evaluation. The periodic evaluation is an "in-College" process intended primarily to mentor the probationary faculty member and identify any potential problems at the earliest possible moment. The abbreviated portfolio (Section 4.21 of the CSUMB RTP Policy) of a probationary faculty member is reviewed by the Department RTP Committee and the (Associate) Dean, who is the

appropriate administrator responsible for the periodic evaluation of probationary faculty members. A written record is filed in the PAF and included in subsequent WPAFs.

Tenured faculty members **must** receive a periodic evaluation at least once every five years. At CSUMB, we have a post-tenure review (PTR) policy. As with the periodic evaluation of a probationary faculty member, the Department RTP Committee and appropriate administrator (the (Associate) Dean) conduct it. The (Associate) Dean writes an independent evaluation. If the tenured faculty member has teaching duties student evaluations are required and the written report is filed in the PAF. In addition, the CFA-CSU Agreement requires the Department RTP committee, the Chair, and the (Associate) Dean to meet with the faculty member and discuss the evaluation. This is an opportunity to bring to the faculty member's attention not only the strengths, but any problems or opportunities that have been identified. A Chair may use the evaluation meeting to urge improvements in performance or behavior, but cannot require the tenured faculty member to take any action. The Chair cannot initiate any punishment or retaliation no matter how poor the evaluation. Periodic evaluations can only be advisory, not disciplinary. No meeting is required following the periodic evaluation of a probationary or lecturer.

All lecturers who have taught two (2) or more semesters **must** receive a periodic evaluation. We strongly encourage that new lecturers be evaluated after their first semester if there is any likelihood of re-appointment in the future. Student evaluations are required if the lecturer has teaching responsibilities. The CFA-CSU Agreement differs on the evaluation process for full-time and part time lecturers in one way. Full-time lecturer evaluations require review by a committee of tenured faculty from the department. Part-time lecturer evaluations may be completed by the Chair alone or by a committee of tenured faculty from the department. Whichever is decided should be consistent for all part-time lecturers. For both full-time and part-time lecturers, the (Associate) Dean (appropriate administrator) must also evaluate the faculty member.

Lecturers eligible for three-year appointments receive a cumulative evaluation of work performance during the qualifying period (six years for initial appointments, three years for subsequent appointments) in addition to a periodic evaluation. The current Lecturer Evaluations Criteria, Procedures, and Calendar provide the timelines and requirements for both periodic and cumulative evaluations, and can be found on the UP website.

## SEPARATION

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When a faculty member resigns, retires, or is otherwise no longer employed on campus (referred to as "separation"), he or she must formally check out, which includes returning all university property. The Chair is ultimately responsible for the return of all departmental property by the departing employee. The separation process begins by completing and submitting a resignation form to UP. The form can be found on the UP website. Additionally, the faculty member may contact UP to help the faculty member and the Chair through the process.

## ADDRESSING CONFLICT

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

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

If a problem persists—if the problem turns into a problem faculty or staff member—seek advice and help from your (Associate) Dean and/or UP. Before or when the problem becomes too big for you to handle, consult!

## CHAPTER V: COLLECTIVE BARGAINING AGREEMENTS

CSUMB is governed by collective bargaining agreements between the California State University and various employee unions. The [California Faculty Association](#) (CFA) represents the faculty (Unit 3), including tenured and probationary faculty, lecturers, librarians, counselors and other Student Service Professionals Academically-Related (SSP-ARs), and coaches. The contract between CSU and CFA is sometimes referred to as [the Collective Bargaining Agreement](#) (CFACSU Agreement). CFA-CSU Agreements also exist with several staff bargaining units, and in 2005 a Collective Bargaining Agreement was reached between the CSU and the United Auto Workers (UAW) on behalf of Unit 11, academic student employees. Unit 11 includes teaching associates (TAs), graduate assistants (GAs), and instructional student assistants (ISAs). The first sections in this chapter deal with certain relevant sections of the CFA-CSU Agreement. A section on the Unit 11 agreement can be found at the end of the chapter. The AVP for UP has been designated by the President to administer both the Unit 3 and Unit 11 agreements. Questions regarding either one can be directed to UP at (831) 582-3389 or via e-mail ([university\\_personnel@csumb.edu](mailto:university_personnel@csumb.edu)).

In the CFA-CSU Agreement, there are 41 Articles. While each article is important, there are certain articles more likely to be used by Chairs on a regular basis. These articles include the following:

Article 10: Grievance Procedures

Article 11: Personnel Files

Article 12: Appointment

Article 13: Probation and Tenure

Article 14: Promotion

Article 15: Evaluation

Articles 22, 23, 24, 27, 28: Leaves of Absence With/Without Pay

Article 29: Faculty Early Retirement Program (FERP)

Article 35: Outside Employment

Article 36: Additional Employment

Articles 11, 12, 13, 14, and 15 have been addressed previously in this chapter. The following paragraphs provide an executive summary of these articles. For a complete understanding, please read the article in its entirety and consult with the AVP for UP.

### GRIEVANCES (ARTICLE 10)

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When a faculty member believes that there has been a violation or misinterpretation of the CFACSU Agreement or that she or he has been directly wronged in connection with any rights accruing to employment, he or she may file a grievance. A faculty member must choose one of two paths: 1) statutory; or 2) contractual. At the first level for either type of grievance, the AVP for UP hears the grievance. At the second level, if the grievant selected the statutory path, a faculty committee hears the grievance; for a contractual grievance, at the second level the Chancellor's Office Labor Relations Manager hears the grievance. Contractual grievances may be filed by the affected faculty member or by CFA where the alleged violation arises out of the CFA-CSU Agreement. A statutory grievance may only be filed by the affected faculty member and may arise out of the CFA-CSU Agreement or from a statutory right accruing to employment.

Chairs are most likely to be involved in grievances involving evaluations or appointments because of their responsibility for assigning faculty workload. For this reason, it is most helpful if you familiarize yourself with CFA-CSU Agreement provisions, seek advice from UP whenever you are the least bit uncertain, and keep good records and files.

In most cases, grievances are resolved before they get to the point of arbitration. You may be asked to provide information and nothing else. Don't worry too much if you make an error; there is usually a reasonable solution that will satisfy all parties. If the matter does go to arbitration, the AVP for UP or CSU Counsel will carefully prepare you. On rare occasion a case may go outside the university and you will find yourself involved in a legal situation. Subject to certain exceptions, CSU will provide for the defense of a civil action brought against an employee or former employee on account of an act or omission in the scope of employment. See Cal. Gov't Code sections 995996.6.

### LEAVES (ARTICLES 22, 23, 24, 27 AND 28)

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

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

Parental Leave is of particular interest to Chairs, since such leaves typically last longer than other leaves with pay and require more creative solutions for the department. A faculty member is entitled to 30 days of paid leave (working days, so roughly six weeks); alternatively, faculty may reduce

their workload in lieu of parental leave; faculty may also leave share if the faculty member's spouse or partner is also a faculty unit employee at CSUMB. Because of the varied ways that faculty may take this leave, consultation with UP is vital to understanding the rights and responsibilities for the faculty member and the Department.

Sick leave is a paid benefit that is accrued each month. Full-time faculty members accrue eight (8) hours and part-time faculty members accrue on a pro rata basis. A faculty member is responsible for immediately reporting an absence in CMS, our online absence management system. When faculty are absent from their assigned duties for illness or injury, medical examinations, death or illness in their family, or an extension of maternity/paternity leave, they are expected to use their sick leave. Depending on the circumstances, including the type of leave and the duration of the leave, the university may require written documentation to substantiate the leave. While no Chair wants to be in the position of sick leave police, it is important to inform your faculty of their obligation to use the sick leave benefit as it was intended. Faculty are responsible for informing the Chair of any absence(s) and the Chair must approve all absences during the semester and all arrangement to cover classes or other assignments. Chairs also have the responsibility to ensure that the absences are accurately reported in CMS.

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

For probationary faculty members who want to extend the probationary period (or “stop the clock”), Article 13 provides the guidance. It must be stopped when the faculty member is on a one-year leave for pregnancy/birth or adoption, for the duration of a personal leave without pay, or for one year of a two or more year professional leave without pay. It may be extended for one year only when the faculty member takes any kind of leave with or without pay for less than one academic year. The AVP for UP approves the extension of the probationary period on behalf of the President. As a general rule, the faculty member must be on leave for at least 50% of one semester to stop the tenure clock. Because the rules are different depending on the type of leave requested, Chairs should encourage faculty members to meet with UP **well before** taking any type of leave.

Tenure-line faculty members who wish to take a personal or professional LWOP must submit a request form to UP. The request form can be found on the [UP website](#). The Chair, the (Associate) Dean, and the Provost must approve the request. Please be aware that it is not appropriate to approve a leave for a faculty member who has accepted or is contemplating accepting another permanent job (academic or otherwise). Tenure-line positions are precious resources and it is not in the best interest of the university to hold them open while colleagues “try out” another job. Lecturers may also apply for a personal or professional leave of absence without pay. Lecturers who are approved for a leave of absence without pay retain all appointment rights as if they were in work status.

Sabbatical leaves are granted for purposes that provide a benefit to the university, such as research, scholarship, or creative activity. Faculty members (including lecturers) are eligible for a sabbatical if they have served full-time for six of the preceding seven years and at least six years have passed

since their last sabbatical. The policies and procedures outlined in the [CFA-CSU Agreement](#) are supplemented by CSUMB policies. The Department RTP Committee and/or department Chair, the (Associate) Dean, and the University RTP Committee review all sabbatical proposals. The university is required by the CFA-CSU Agreement to grant twelve percent (12%) of the total number of faculty unit employees eligible to apply for such leaves. Sabbaticals are competitive and the number of applications often exceeds the number of available leaves.

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

If the leave is a sabbatical or DIP, the faculty member must also complete, sign, and submit the Sabbatical and DIP Leaves Terms and Conditions form. CalPERS service credit may be affected by various leaves. It is strongly advised that the faculty member contact UP for more information.

2020 NOTE: Please see the “[Information about Coronavirus-related Leaves of Absence](#)” on the UP web site for information about leaves that may be available during the pandemic.

#### FACULTY EARLY RETIREMENT PROGRAM (FERP)

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The Faculty Early Retirement Program (FERP) permits a faculty member, upon retirement, to teach one semester in the academic year or half time throughout the year. Under the current [CFA-CSU Agreement](#), faculty members may take advantage of this program for up to five years. The faculty member must request a specific period of employment (e.g., fall or spring semester) and may change that period of employment by request to the President (or his/her designee). The President may also determine that it is necessary, due to programmatic needs, to change the period of employment. Typically, the President would do so upon the request of the (Associate) Dean, who in turn would respond to the needs of the department. The President would attempt to reach a mutual agreement with the faculty member, but if it cannot be reached it is the President’s prerogative to make the final determination. The faculty member may also request a reduction in time base, but that reduction continues for the duration of the FERP appointment. FERP participants may request one leave of absence without pay for medical reasons, which does not extend their period of FERP. During their period of employment (that is, the semester or semesters they teach), FERP participants are required to perform normal duties and activities. They may serve on governance committees, including peer review committees, if the committee’s assignment is normally completed during the period of employment. They also may vote on departmental matters. FERP participants may not receive compensation for any state-funded additional employment or overload, but may do so through the Sponsored Programs Office since it is not a CalPERS employer.

#### UNIT 11 (ACADEMIC STUDENT EMPLOYEES)

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Unit 11 covers three classifications of academic student employees (ASE): Instructional Student Assistants (ISA), Graduate Assistants (GA), and Teaching Associates (TA). Collective bargaining marks a potential change in the atmosphere surrounding the faculty/student relationship. As managers and administrators, Chairs need to do their best to ensure that the provisions of the agreement are met, that the faculty understands its responsibility under collective bargaining, and that the fundamental educational mission of the program remains pre-eminent. ASEs are both students and employees and one of the Chair’s tasks is to distinguish when their grievances and

concerns arise from their role as students or from their status as employees. Only the latter is covered under collective bargaining.

The following are highlights from the UAW-CSU Agreement which department Chairs will handle most often. [There are a total of 27 Articles in the Agreement.]

Article 2: Appointments, Posting and Notification

Article 8: Employment Evaluations

Article 10: Grievance Procedure

Article 13: Instructional Materials, Service and Support

Article 16: Non-Discrimination

Article 22: Training

Article 26: Workload

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## ARTICLE 2: APPOINTMENTS, POSTING AND NOTIFICATION

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The appointment process must be more formalized and regularized under collective bargaining. ASE positions can be open, committed, or emergency. Committed positions are those offered to a student as part of a recruitment package or that result from an existing advising relationship with a faculty member. Emergency positions are those that begin less than a week after they are open. All other positions must be posted on the [CSUMB Career Development](#) website and may be posted elsewhere at the department's discretion. Once an appointment is made, the student employee must be sent a written notification and sign their appointment letter within 14 days of the offer. A job description outlining the specific duties of the position must be completed before the ASE begins work. This form is on the [Student Employees section](#) of the UP website and also in Appendix E of the UAW-CSU Agreement.

Appointments may be provided for any duration, including multiple academic terms. The University will guarantee employment during the first term of appointment. Thus, if you decide to hire an ASE for two semesters and there is not enough work, you will still need to pay the ASE for the whole two semesters. UP recommends that the initial appointment be for one semester. Employees may be reassigned for "operational needs," which means that if you discover early in the semester that a TA cannot handle classroom duties, you can pull her or him out of the class and into other duties. An ASE can also be removed for academic ineligibility within the first five weeks of the semester. However, if a problem arises from conduct, then we must use the discipline procedure. Discipline is limited to a written reprimand, suspension without pay for a maximum of 21 calendar days or dismissal and may be taken to arbitration. (See Article 6.)

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## ARTICLE 8: EVALUATIONS AND PERSONNEL FILES

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There is no requirement that departments conduct performance evaluations of ASEs, but if they are to take place, the criteria, schedule, and procedures must be communicated in writing, and cannot be changed during the appointment period. If an evaluation is to take place, the ASE must be given written notice of the criteria, schedule and procedures within fourteen (14) calendar days of the beginning of the appointment. It may be a good idea to institute a formal evaluation for these employees to provide information upon which to make reappointment decisions. A student

employee who is unhappy with the content of an evaluation may submit a rebuttal, but can only grieve on procedural grounds (for example, because they did not get a copy of the criteria and procedures) or if alleging a violation of the nondiscrimination article.

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

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## ARTICLE 10: GRIEVANCE PROCEDURE

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The grievance procedure has two levels: informal steps and formal steps. The Chair's responsibility comes at the informal level. The first goal is to attempt to resolve conflicts within the department. The student employee should meet first with his or her immediate supervisor (step 1). If there is no resolution at this step or the employee chooses not to utilize step 1, the employee must meet with the person designated by the university to handle informal step 2 meetings. That person is the department Chair in most cases. If the Chair is the subject of the grievance or already met with the employee in step 1, the (Associate) Dean or designee will conduct the informal step 2 meeting. If the grievance cannot be settled informally, the employee may file a formal grievance, which will be heard by the AVP for UP and ultimately go to arbitration. Of course, we wish to do everything we can to avoid that conclusion, beginning with conscientious adherence to the terms of the Collective Bargaining Agreement and continuing on to active and principled attempts to resolve complaints.

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## ARTICLES 13, 22: INSTRUCTIONAL MATERIAL, SERVICE AND SUPPORT AND TRAINING

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

All required training and orientation should be considered part of workload and therefore compensated, with the exception of pedagogy courses and other training required as a condition of employment. If you are in doubt about whether you need to compensate an employee for training, consult with UP.

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## ARTICLE 16: NONDISCRIMINATION

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ASE complaints of discrimination based in employment should be referred to the Title IX Coordinator. If the complaint is one of whistle-blowing or retaliation, refer the student employee to UP. If the discrimination is based on academics, the appropriate referral is to the Dean of Students and Title IX/DHR Coordinator.

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## ARTICLE 26: WORKLOAD

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All academic student employees (TAs, ISAs, and GAs) are non-exempt employees, which means that they are paid an hourly wage for all work assigned by their lead worker including work-related meetings. They must be assigned reasonable workloads, which are defined as the number of hours the university could reasonably expect a TA or exempt GA to satisfactorily complete the work assigned. The agreement states that reasonable workloads shall be measured by many factors, including hours normally assigned (based roughly upon a 40-hour per week full-time standard), nature and quantity of work, number of students, type of instructions, level of support, enrollment demand, and use of WTUs. Clearly, there is no simple formula for a reasonable workload and conflicts between the department and its student employees may arise.

Employees are expected to raise workload issues with their leads as soon as possible and leads should take these concerns seriously and evaluate whether the assigned workload is reasonable. The Chair, in particular, should step in when necessary to adjust student workload in compliance with the Collective Bargaining Agreement and, more importantly, in the best academic interests of the student.

## CHAPTER VI: STAFF

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### RECRUITMENT AND RETENTION

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

Staff employees belong to several different bargaining units and are represented by a number of different unions. The California State University Employees Union (CSUEU) covers Units 2, 5, 7, 9, and 14, which represent those staff members most likely to work in academic departments. Some academic departments may also have staff members who belong to Unit 4, represented by the Academic Professionals of California (APC).

New and replacement staff positions are initially requested through your Dean's Office; once approved, you will work with UP on this process. UP will require a Job Action Form (JAF), written justification for the position, as well as the time-base for the appointment. Depending upon operational needs and budgetary constraints, staff appointments may be made on a temporary or permanent basis. If approved, you will then need to develop a detailed job description and form a search committee. Search committees for APC (Unit 4) positions must include at least one Unit 4 employee, who may come from your own or another department. Since job classifications are governed by the collective bargaining agreement, you should review information regarding CSU [Job Classification Standards](#). The classification standards have also determined for each CSU classification whether the classification is exempt or non-exempt (see Exempt/Non-exempt section below). While minimum requirements should conform to these classifications, you may add specific duties, skills, or experiences directly related to your discipline. You should work closely

with your Dean's Office and UP as you craft the job description. Once approved by UP, the job is posted on the CSUMB website for a minimum number of days which may be dictated by the respective CBA. For highly specialized staff positions, additional time and use of additional recruitment sources may be required. Review the [recruitment information](#) on the UP website or contact UP for additional advice.

Following the application filing deadline, UP will screen the applications for minimum requirements and then forward them to the talent selection committee for review. The talent selection committee members are required to take training online and in-person with UP and the Office of Inclusive Excellence regarding applicant pool and search guidelines and procedures. To help evaluate specific skills, it may also be appropriate to create a performance exercise for applicants. You must work with UP in developing this exercise. Once the oral interviews, performance exercises (if used), and reference checks are completed, justifications for recommendation and non-recommendation of interviewed candidates are forwarded to the Dean and UP for approval.

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

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

## STAFF PERFORMANCE EVALUATIONS

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All temporary, probationary, and permanent staff employees must receive performance evaluations each year. As the lead worker for all staff members in your department/school, it is your responsibility to complete and sign these evaluations. You may wish to consult with faculty and/or staff members who have more direct contact with the employee(s) you are evaluating. UP will send you a memorandum regarding these evaluations along with a date for forms to be returned to their office. Forms and instructions on how to complete them are accessible on the [UP website](#). Always use the form from the website rather than one you have saved from a previous year. A form for self-evaluation is also available on the UP website.

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

input and discussion. The employee must be given five (5) days to review the draft evaluation and provide input. You may consider their input in preparing the final performance evaluation report. You may also request the employee complete a self-evaluation for consideration in the final report. This is also a good time to review the employee's job description to see if any changes need to be made to accurately reflect the employee's current duties.

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

Once the performance evaluation is drafted, and before you meet with the employee, you must have your supervisor (Dean) review the draft evaluation. After reviewing the draft evaluation with your supervisor, arrange a meeting with the employee where you can review the evaluation and provide the employee with a copy of the draft. After discussing the content of the evaluation and making any mutually agreed upon changes, you will create the final version of the evaluation. Have your supervisor (Dean) sign the finalized version of the evaluation. After your supervisor signs the finalized version, meet with the employee to sign the final evaluation. The employee may include comments on the form or attach written comments to the form. Normally the employee should be given a maximum of three (3) working days to sign the report and/or submit written comments. If the employee refuses to sign the report, you must indicate this on the form under Employee's Acknowledgment. Once signed, a copy of the report is given to the employee and the original is forwarded to UP for placement in the employee's official personnel file.

While these reports are completed on an annual basis, unscheduled reports may be prepared at any time for any employee. Either the department/school or the employee may generate the request for a special report. You should contact UP for information regarding additional evaluations. Probationary employees must be evaluated by the end of the third, sixth, and eleventh month of the probationary period. Although the annual performance evaluation is the formal process for evaluation and feedback to the employee, the Chair should be in regular communication with the staff providing feedback and setting clear expectations such that any issues which come up in an annual evaluation are not a surprise to the employee.

## DISCIPLINE

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For all questions about standards of conduct, reprimands, and discipline in relation to staff, Chairs must contact UP.

## EXEMPT/NON-EXEMPT EMPLOYEES

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

## LEAVE CREDITS

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Staff employees earn vacation credit for each month worked. The number of hours earned is based on years of service. Staff employees also earn eight (8) hours of sick leave each month on paid status. Monthly staff employees are required to submit to Payroll via CMS Absence Management accounting for any leave credits used during that month.

## OVERTIME

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Non-exempt employees are entitled to overtime pay (Cash or Compensatory Time Off – CTO) at a rate of one and one half times the regular rate of pay. All overtime must be reported in CMS. It is a violation of the Fair Labor Standard Act and the Collective Bargaining Agreements to authorize unofficial overtime and to track internally within the department.

## CHAPTER VII: STUDENTS

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### UNDERGRADUATE ADVISING

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CSUMB employs a centralized model of advising for undergraduate students through the [Center for Advising, Career, and Student Success \(CACSS\)](#). Visit the CACSS website for information as well as common practices and procedures. Within the department, the Chair is responsible for assuring that the undergraduate program runs smoothly and that the department is meeting the needs of its students. Among his or her tasks, the Chair may:

- hold informational meetings to "recruit" new majors (assuming your major is not impacted); ▪ participate in the new student orientations for transfer students and freshmen.
- keep informed about changes in requirements for the major (these vary according to the student's catalog year) and be able to explain these changes to students;
- know which courses "articulate" (that is, are equivalent) between your department and local community colleges (Monterey Peninsula College, Cabrillo College; Hartnell College, and Gavilan College);
- know who your majors/minors are;
- know how to [obtain access](#) to the CSUMB [CMS "advisor" role](#) so that you can access unofficial transcripts, degree evaluations, and class schedule for your advisees;
- receive questions about students who have an advising hold placed on their records unit that is removed by their academic advisor ("Negative Service Indicator" is synonymous with the term "Hold"). Students cannot register until this is removed, and it is likely Chairs will receive questions from students. Please reach out to CACSS for assistance in identifying the NSIs;
- encourage students to form or participate in an undergraduate club or student association;
- schedule periodic get-togethers with the majors/minors and faculty members to foster a sense of community;
- encourage undergraduates to apply for available scholarships;
- provide mentoring and career advice to students.

### GRADUATE COORDINATOR AND ADVISING

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

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

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

## RIGHTS AND RESPONSIBILITIES

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CSU is regulated by the California Code of Regulations. On this campus, information on regulations that govern student behavior can be found on the [Judicial Affairs](#) website as well as in the [CSUMB Catalog](#). The catalog also contains information on grades, course credit, student records, graduation, and so forth. Students are responsible for knowing the content of the catalogs, and abiding by the policies and regulations contained within.

As Chair, you should help your faculty, especially your newest members, understand their options when faced with student misconduct. You may also, on occasion, need to address unjustified behavior on the part of a faculty or staff member toward a student. You may need to mediate between irate or unhappy students and faculty. Familiarize yourself with the university’s codes and support structure when faced with these situations. Faculty members are encouraged to contact [Judicial Affairs](#) when they wish to discuss troublesome or challenging classroom behavior. Health and Wellness services for students may also be contacted for feedback when mental health issues may be affecting a student’s classroom behavior. These services include the [Personal Growth and Counseling Center](#) (PGCC), the [Campus Health Center](#), and [Student Disability Resources](#).

Faculty should also know that Student Affairs and the Health and Wellness services offer several programs designed to help students make better choices for the future. This includes offering alcohol and other drug workshops if they are drinking or using drugs and psychological growth workshops that may be useful if they have problems getting along with professors or roommates. Student Affairs and Enrollment Services sets the standard for the university by holding students

accountable for their actions but also, when appropriate, offering them tools to help ensure that this type of behavior does not occur again in the future.

It should be noted that the Chancellor's Office has issued [Executive Order 1098](#) that mandates reporting of all cases of academic dishonesty (cheating and plagiarism) to a central location. Remind your faculty that while individual professors are responsible for determining academic sanctions, they will also be expected to [report incidents](#) and make recommendations on further investigation and additional judicial sanctions to the Student Conduct Administrator.

## COMPLAINTS

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Student complaints can arise from a large variety of situations. Students may disagree with their instructor's viewpoints in class or believe that they have not been graded fairly on a particular assignment or over the course of an entire semester. A student may complain that the professor has an inflexible policy on make-up examinations or incompletes. Some students may communicate their concerns about a dysfunctional classroom environment, which might entail students feeling "unsafe" to express their opinions, rude or dismissive comments made by other classmates or the faculty member, or a pervasive air of hostility. In cases where the scope exceeds the Chair's reporting structure, or if the Chair is the instructor, the (Associate) Dean should be included. The sorts of appeals Chairs are likely to run across are varied, so if there are any concerns about to whom the student should make an official complaint, please contact your (Associate) Dean for appropriate direction and resolution.

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

When a student makes a complaint you should:

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

If the student wants you to mediate a meeting with the faculty member, set that up within two to three days. Letting time elapse aggravates an already impaired classroom environment and/or faculty/student dynamic. It is a courtesy to colleagues to inform them of the nature of the student's complaint before the meeting occurs so that they can collect necessary documents in order to

facilitate a productive conversation. It is your goal as Chair to work towards a negotiated settlement during this meeting. Leaving an individual faculty member (especially someone at a junior rank) to negotiate these situations is a bad idea. Suggest strategies to your colleague before the meeting to facilitate this negotiated approach. You may find, after speaking to the faculty member, that she or he is unmovable (for example, refusing to let a student make up an examination missed because of an illness that can be corroborated by a doctor's note), but you do not have the authority to overrule an individual faculty member in the conduct of their course and grading. However, few faculty members are that stubborn. It is in the gray areas that you can be of the most assistance by encouraging the student to accept responsibility for his or her deeds (or lack thereof) and the faculty member to be flexible in resolving the situation. When persuasion fails, you should direct students to the [Office of Judicial Affairs](#), the next step in the [Student Grievance Policy](#). They also have the right to speak to the college (Associate) Dean if they are not satisfied with the resolution of the situation.

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

**NOTE:** If a student comes to you as Chair with a complaint of sexual harassment you **must** (you do not, by law, have the choice not to act) report this within five (5) working days to the [Title IX/DHR Coordinator](#), who will guide the student in the appropriate procedures from that point forward. **Again: all reports of discrimination or harassment made by students must be reported to the [Title IX/DHR Coordinator](#) for investigation per Title IX, additional federal and state laws, and Executive Orders 1096 and 1097.** This also includes reports made by faculty or staff. Do not make the mistake of "covering" for someone or hoping the student or employee will forget about it and not mention it again. As Chair, you will also be required to take a mandatory two-hour online training course on sexual harassment. In cases in which the allegation is made during or as a part of an academic appeal (including grade appeals), the academic process must be held in abeyance until the Title IX investigation is complete.

Faculty will on occasions have to deal with students they consider disruptive in class. Talk with your faculty members early on about their resources for addressing this. Campus resources include you as their Department Chair, their faculty colleagues, the (Associate) Dean, UP, the Student Conduct Administrator, the CARE Manager, and/or the Behavioral Intervention Team (BIT). See also Appendix I.

If this happens repeatedly, the faculty member should inform the student that particular actions are considered disruptive and that future recurrence is grounds to expel the student from the class. But know that faculty members do not have the authority to permanently remove a student from a class. They can, however, remove the student for a specific class period and then report the incident to the Student Conduct Administrator or the Dean of Students, at which time [Student Affairs](#) can assess the advisability of permanent removal of the student or transfer to another class depending upon the circumstances. It is important to remember that the standards of disruption, as defined by [Article 2 of Student Conduct](#), must be met before Student Affairs is able to enforce removal of a student. If the student's continued presence in the classroom is highly disruptive, Student Affairs can email a letter, or have a letter hand-delivered, to the student stating that they are not to return to that specific class until they have met with a judicial officer. If you feel there is the possibility of

danger to the faculty member from a particular student, accompany the faculty member to [University Police Department](#) (UPD) while he or she files a report with the officers. If an incident should occur in the classroom that appears to be particularly dangerous or otherwise of concern, faculty should contact UPD for assistance immediately. Watch for danger signs such as invasive or inappropriate e-mail, notes, or comments from the student; sexually suggestive or threatening remarks; and disruptive or upsetting classroom behavior. This is unnerving to faculty, and in some cases, to other students in the classroom, and they need your support and guidance when a situation like this occurs. TLA can also help coordinate ongoing support for faculty with a [Faculty Support Team](#).

In the event that a student is exhibiting odd, but not disciplinary-related, behavior, the appropriate referral might be to the [Health and Wellness resources](#), not the Dean of Students. It is usually more effective to accompany the student there than to leave it to his or her discretion.

## STUDENT ORGANIZATIONS

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

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

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

Department-related student organizations can elect officers and apply for on-campus status as a recognized student organization in accordance with policies and procedures administered by the ICC. This entitles them to submit funding proposals to the Associated Students for event funding. Your recognized student organization can co-sponsor activities offered by your department by contributing a nominal honorarium and be listed as an official co-sponsor. Conversely, you are encouraged to co-sponsor their events as well.

The [Inter-Club Council](#) (ICC) provides club members an opportunity to apply for funds annually. The grants are awarded on a first come, first serve basis. Event funding is also available through the Office of Clubs and Activities. Clubs and Activities Grants up to \$1,000 and Cultural Programming Grants up to \$2,500 are available for on-campus events and activities that are free to CSUMB students and open to the community. The Clubs and Activities Grants are used to encourage student groups to put on high quality events or invite speakers, performers, and professionals to campus while the Cultural Programming Grants are provided for on campus events that promote social justice, educate and raise awareness of cultural diversity, equity, cultural celebrations and traditions.

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

Student organizations must apply for on-campus recognition status. The [Student Organization Handbook](#) explains the requirements for on-campus recognition status.

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

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

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

## CHAPTER VIII: UNIVERSITY DEVELOPMENT

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### FOSTERING A CULTURE OF PHILANTHROPY

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State funding is no longer sufficient to support the faculty, students, and programs at CSUMB. Ongoing and new projects within the university require non-state dollars if they are to be sustainable and achieve excellence. The university has fundraising priorities which may involve your department or individual faculty members. In partnership with your (Associate) Dean and University Development, you can play an important role in identifying sources for raising funds, reaching out to prospective donors, and helping share CSUMB's success stories. Fundraising activities for your department are coordinated through your Dean's Office. The (Associate) Dean and the College Development Officer work together to vet priorities and opportunities for fundraising for the programs in the college. Your role in bringing the needs and stories forward to the Dean's Office is paramount.

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

### THE CSUMB FOUNDATION

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The CSUMB Foundation, a CSU auxiliary organization, is the university's philanthropic tax-exempt foundation, serving as the cornerstone of CSUMB's fundraising efforts. The Board of Directors is comprised of 20 members with representation from the community, faculty, administration, alumni, and students. The members recognize the need to expand opportunities for philanthropic success and their expertise, fiduciary oversight, and advocacy support the University. The board supports and advances the mission of CSUMB by securing private donations, developing and managing entrepreneurial activities, overseeing philanthropic activities, and managing endowed and other assets.

### ALUMNI RELATIONS

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Alumni Relations works to cultivate lifelong relationships with alumni and create and facilitate fundraising opportunities for donors to make a difference at CSUMB. Private funds are used to support student scholarships, academic programs, faculty development, student success, educational infrastructure, and program innovation. Alumni Relations also works to foster a strong, dynamic, lifelong alumni community connected to each other and involved in supporting CSUMB's future. Development Services and Alumni Relations cultivate lifelong relationships with alumni and facilitates fundraising activities at CSUMB, working to build relationships with faculty, volunteers and donors to help meet campus-wide and program specific needs. CSUMB actively seeks sources of private funds that will allow the university to build on its strengths and priorities in teaching, research, and sustainability.

The donor relations team seeks to sustain and deepen the relationship between the university and its donors through thoughtful acknowledgement, recognition, communication, and engagement.

They strive to foster lifelong relationships with donors and instill in them the trust that their gifts are an investment in the success of CSUMB.

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

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

Oftentimes, departments are in the most frequent contact with alumni. Please be sure to let us know if you learn of any address or career changes of your alumni. This information helps the entire university community communicate better with alumni and recognize their achievements. If you are interested in reaching out to a particular individual or company in an effort to secure a gift to your department or program, please contact University Development. They will help you determine whether the individual, corporation, or foundation is already engaged with the university or has been cleared for cultivation or solicitation by another area of the university.

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## UNIVERSITY AFFAIRS

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University Affairs shares stories about the university's many successes. Its goal is to create stronger connections between CSUMB and its key audiences – including prospective students, current students, faculty and staff, alumni, benefactors, and the community. Priorities include student recruitment, reputation building, alumni engagement and philanthropy. University Affairs builds an understanding of, and pride in, the university throughout the campus community, the media, prospective students, community leaders and elected officials. KAZU, the public radio station licensed to and supported by the CSUMB Foundation, provides a valuable public service by broadcasting a diverse array of news, educational programs and music to the Central Coast.

The office is also responsible for campus-wide communications initiatives, including crisis/issue communications, media relations, state government relations, overseeing the university's brand identity, and serving as a point of contact for the media.

If you would like to start a job – such as a copy project, brochure, poster or website – you can use submit a job request at <https://csumb.edu/affairs#marketing-communications>. You can also call the Marketing & Communications main number at x3014.

## CHAPTER IX: CSUMB SPONSORED PROGRAMS OFFICE

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Grant and contract proposals are submitted through and administered by the Sponsored Programs Office. Pre- and Post-award services are provided to faculty and staff interested in obtaining external funding for their research and other sponsored activities. The Sponsored Programs Office works closely with Chairs and (Associate) Deans to facilitate the research and other sponsored activities of CSUMB.

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

## PROPOSAL DEVELOPMENT

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

Faculty should seek the Chair's advice on the steps involved in research proposal preparation and submission. The Chair needs to understand the responsibilities each campus entity has, and on the Grant Proposal Routing Form ("the blue sheet"), which accompanies all proposals. The Chair, in conjunction with the (Associate) Dean, will be responsible for agreeing to the submission of the proposal and all stipulations that impact the department. This includes faculty who need space to carry out research activities, as well as those who need additional release time and/or cost-sharing resources. By signing the Routing Form, the Chair and (Associate) Dean are approving the proposal in its current form and all stipulations relating to the department. Accordingly, if a faculty member is asking for more space or release time, or cost-sharing commitments as a stipulation of carrying out a particular project, this must be stated in the Routing Form and by signing that form, the Chair and (Associate) Dean have agreed to fulfill those stipulations. If additional resources will be required beyond what the department already has, be certain to have approval by the appropriate office in advance.

## PROJECT ADMINISTRATION

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

## APPENDIX I: CAMPUS RESOURCES (ABBREVIATED LIST\*)

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\*For the most up to date information on campus resources, visit [csumb.edu](http://csumb.edu)

### [Academic Affairs](#)

Academic Affairs provides leadership in maintaining a university-wide perspective on the development, support and maintenance of academic programs, policies and procedures. This office is responsible for coordinating matters related to Chancellor's Office Executive Orders and Coded Memoranda for academic affairs, general education, transfer model curricula, and graduate programs.

### [Academic Leadership Team \(ALT\)](#)

ALT assists the Provost and Vice President for Academic Affairs with policy issues and major areas that need broad consultation. This team usually meets every Tuesday in the Administration Building Conference Room.

### [Academic Personnel](#) (*see University Personnel*)

### [Academic Planning and Institutional Effectiveness](#)

This office is responsible for coordinating assessment activities, program reviews and accountability, and campus accreditation activities. It coordinates with the Chancellor's Office in securing approval for new programs. Led by the Associate Vice President for Academic Planning and Institutional Effectiveness, the office is charged with coordinating all aspects of academic planning, including space allocation, commencement, policy facilitation, and scheduling (Academic and Centralized Scheduling). The office is also charged with leadership in matters related to assessment, institutional research (IAR), catalog, and program review. This AVP is also the University's Accreditation Liaison Officer (ALO) to WASC and is the point-of-contact for all matters related to WASC and consultation on other accreditation processes.

### [Academic Policies](#)

This website includes a complete listing of current academic policies and regulations based on the best information available at the time of posting.

### [Academic Programs and Undergraduate and Graduate Studies](#)

This office is responsible for matters related to student academic appeals, including withdrawals, grade appeals, and university academic policy exceptions. The Associate Vice President for Academic Programs and Dean of Undergraduate and Graduate Studies provides leadership for the University College and Graduate Studies which includes the Service Learning Institute, First Year Seminar Program, Communication Across the Disciplines, Cooperative Learning Program, and the Center for Advising, Career Services, and Student Success. The Office for Graduate Studies actively promotes graduate education and provides assistance to graduate students, faculty and staff, from the beginning of the application process to the culminating experience (graduation).

### [Academic Senate and Assembly](#)

Since fall 1996, the faculty of CSUMB has had shared governance in two formal bodies the inclusive Academic Assembly and the representative Academic Senate.

### [Accessible Technology Initiative \(ATI\)](#)

The ATI is an initiative from the Chancellor's Office to make CSUMB's information technology accessible to all students, faculty, staff and the general public regardless of disability. There are three major priorities: [Web Accessibility](#), [Instructional Materials](#), and [Procurement](#). The Chancellor's Office has established timelines for each of the three priorities. The Center for

Academic Technologies and Technology Support Services plan to help faculty and staff make content accessible.

### **Admissions**

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

### **Advising, Career, and Student Success, Center for**

The Center for Advising, Career, and Student Success advances and supports campus-wide advising. Center activities include offering advising workshops for faculty advisors and department coordinators, attending department meetings, visiting classes, and coordinating with residence hall staff to offer schedule-building sessions. The Center's website has several useful resources posted including how to make in-person and virtual appointments and how to choose classes.

### **Associated Students (AS)**

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

### **Behavioral Intervention Team (BIT)**

The BIT serves as the centralized campus team for discussion and coordinated action regarding reports of disruptive, problematic or concerning behavior or misconduct from c-workers, students, community members, friend, colleagues, etc. Reports of concerning behavior can be filed at the [BIT website](#).

### **CARE Team**

The Care Team identifies students who may be experiencing distress or have concerns within the university community that could potentially impact their well-being. The team consults in order to generate awareness and plan collaborative responses. Reports can be made to the [CARE Team](#) either in writing or by phone.

### **Clery**

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (commonly known as the Clery Act) requires higher education institutions to disclose information about crime on and around their campuses, and is enforced by the United States Department of Education. The Clery Act requires colleges and universities to publish an annual security report by October 1. The law requires schools make the reports available to all current students and employees, and readily available to prospective students and employees upon request.

### **Description of Duties (ASE)**

Form that must be completed for Academic Student Employees (ASE) describing what their duties are. This form is in Appendix E of the UAW-CSU Agreement and on the UP website.

### **Employee Assistance Program (EAP)**

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

### **Facilities Services and Operations (FSO)**

Facilities Services and Operations is responsible for meeting the daily operational needs of the university's buildings, grounds and utilities. FSO keeps the campus grounds beautiful, provides safe buses and cars for official use, issues keys to buildings, classrooms and offices, distributes mail, moves furniture and maintains an inventory of CSUMB property. In addition, FSO works closely with Campus Planning and Development to provide support for campus projects, new construction, and remodeling of facilities and grounds.

### **Faculty Center**

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

### **Human Resources (See [University Personnel](#))**

### **Inclusive Excellence (OIE), Office of**

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

### **Institutional Assessment and Research (IAR), Office of**

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

### **Payroll**

Payroll Services is dedicated to processing accurate and timely pay warrants for more than 1,600 full- and part-time faculty, staff, and student employees while adhering to university guidelines as well as federal and state regulations. Payroll works under the authority of the Chancellor and under the direction of the Controller of the State of California. They are a service-oriented department committed to assisting employees and administrative departments.

Payroll is responsible for the areas of payroll operations pertaining to establishing and monitoring leave accruals, maintaining the employment history database, and processing disability payments, levies, and garnishments.

### **Personal Growth and Counseling Center (PGCC)**

PGCC provides services to students including group and individual therapy, personal growth workshops, pamphlets and videos, assessment, and much more. PGCC is an invaluable resource to a department Chair (or any faculty member) dealing with a distraught or difficult student.

### **Policies**

The central place for campus policies is on the [Policy Facilitation](#) webpage.

### **Registrar, Office of**

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

### **Room Reservations**

Scheduling classrooms for instruction is generally handled by either the Department Administrative Support Coordinator or Academic and Centralized Scheduling. You can view the scheduled rooms and availability of university-wide classroom space by [using 25Live](#) – the classroom reservation program. Scheduling requests for department meetings and special events are also processed through 25Live. Requests are routed for approval to the respective office depending on location. For external users, scheduling requests can be submitted to [Conference and Event Services](#), located in the University Center, 582-4111.

### **Senate Curriculum Committee Council (SCCC)**

The SCCC is charged with the careful consideration and deliberation of all academic planning and curriculum matters. It is the expectation of the Academic Senate that SCCC members work collaboratively and act in the best interest of the university-wide community and in consideration of the strategic plan of the CSUMB mission and strategic plan. Any recommendation may be further deliberated by the full Academic Senate.

### **Student Disability Resource (SDR)**

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

### **Student Rights and Responsibilities**

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

### **Information Technology**

582-HELP (4357) or submit a [service ticket](#). Several useful technology resources guides for faculty are available on the IT site.

### **Title IX and Discrimination, Harassment & Retaliation (DHR), Office of**

The University has designated a Title IX Coordinator who will assist, support, monitor and oversee overall compliance with laws and policies related to discrimination, harassment, retaliation, sexual misconduct, dating and domestic violence and stalking.

### **Teaching, Learning & Assessment (TLA), Center for**

TLA cultivates student success by supporting improvement and integration of curricular and ccurricular teaching and learning. In the center, faculty can find teaching cooperatives, workshops, CAT, information on TLA grants, and faculty support services.

## **University Organization Chart**

### **University Personnel**

UP provides support to faculty, staff, and administration. UP is the campus' resource and strategic partner in the recruitment, retention and development of faculty and staff. Specific areas that UP handles include faculty and staff recruitment; faculty retention, tenure, and promotion (RTP) process; staff and faculty evaluation processes; employee and labor relations issues including performance management, grievances and arbitration; leaves of absences; sabbatical/difference-in pay leaves for faculty; classification and compensation programs; benefits; and staff and faculty (FERP, PRTB) retirement programs.

### **University Police Department (UPD)**

24-Hour Non-Emergency: 831-655-0268

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

## APPENDIX II: GLOSSARY OF UNIVERSITY TERMS AND ACRONYMS

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

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

**APC:** Academic Professionals of California. APC is the union representing unit 4, including SSPs, credential analysts, and librarian assistants in the CSU.

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

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

**Assigned time:** An individual faculty workload assignment is typically 12 units (tenure-line) or 15 units (lecturer). Any workload that is not direct instruction must be accounted for by assigned time. A 1976 document known as EP&R 76-36 set out the categories and codes for assigned time. These codes are defined in the CSU [APDB Data Element Dictionary](#).

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

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

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

**CFA:** California Faculty Association. CFA is the union representing the faculty unit (unit 3), including tenure-line faculty, lecturers, librarians, counselors, and coaches.

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

**CSU:** The California State University. Formed in 1961 under the Donahoe Act, the CSU is one of the three tiers of the state public higher education system (along with the University of California and the community college system). With 23 separate institutions and a central office of the Chancellor, the CSU is the largest public university system in the country.

**CSUEU:** California State University Employees Union. CSUEU is the union representing units 2, 5, 7, 9, and 14. The full classifications are in [Appendix A](#) of the Agreement.

**Entitlement:** A faculty unit employee who receives an appointment may be entitled to an appointment for the same number of units taught in the prior year. [Article 12](#) of the CFA-CSU Agreement establishes several levels of entitlement.

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

**Faculty Center:** An interactive tool that allows CSUMB faculty to review their class rosters, assign grades, and view their compensation history.

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

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

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

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

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

**FTF:** First Time Freshman. This acronym is used in charts and data from Institutional Assessment and Research and the Chancellor’s Office.

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

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

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

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

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

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

**Lecturer:** Faculty members who are not tenure-line faculty. They may be full-time or part-time, and may have multi-year contractual entitlements. Formally (CFA-CSU Agreement language) referred to as “temporary faculty,” the nomenclature “lecturer” is currently preferred and more accurate.

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

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

**Outside employment:** Work that is not compensated by the CSU or its auxiliaries. Outside employment must not interfere with the employee’s performance of his or her normal work assignments. All full-time faculty (tenured/tenure-line/lecturers) are required to provide a written statement to the appropriate administrator ((Associate) Dean/Director) for all outside employment where such employment is expected to amount to more than 160 hours per semester for faculty holding 10-month appointments or 120 hours per three-month period for faculty holding 12-month appointments. All MPP employees must provide an annual statement on outside employment, whether or not any outside employment has been undertaken by MPP employee.

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

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

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

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

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

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

**Range Elevation:** A process by which lecturers who meet eligibility requirements may apply for elevation to the next higher range within the Lecturer classification. Eligible lecturers are notified by UP annually.

**Rehired Annuitant:** An individual who has retired from the CSU and is receiving a pension through CalPERS but has been rehired by the CSU after the mandatory waiting period. This postretirement employment is subject to strict CalPERS limitations on number of hours worked.

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

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

**RTP:** Retention, tenure, and promotion; the core evaluative process of the university for faculty.

**SETC:** State Employees Trades Council. SETC represents Unit 6, which includes the trade professions in the CSU.

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

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

**SUPA:** Statewide University Police Association. SUPA represents Unit 8, UPD, in the CSU.

**Three-year contract:** After six consecutive academic years of employment and a satisfactory cumulative evaluation, a lecturer is eligible to be reappointed on a three-year contract. This gives them the strongest entitlements of any non-tenure-line faculty.

**United Auto Workers:** Often abbreviated as UAW, the California Alliance of Academic Student Employees/International Union, United Automobile, Aerospace and Agricultural Implement Workers of America is the union representing academic student employees, including Teaching

Associates, Graduate Assistants, and Instructional Student Assistants. In 2005, the ASEs were organized by the UAW, forming Unit 11 in the CSU.

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

## APPENDIX III: CAREFUL CONSIDERATION OF FACULTY

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### CONTRACTUAL REQUIREMENTS

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

### GUIDELINES DEVELOPED THROUGH RELEVANT ARBITRATION AWARDS

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

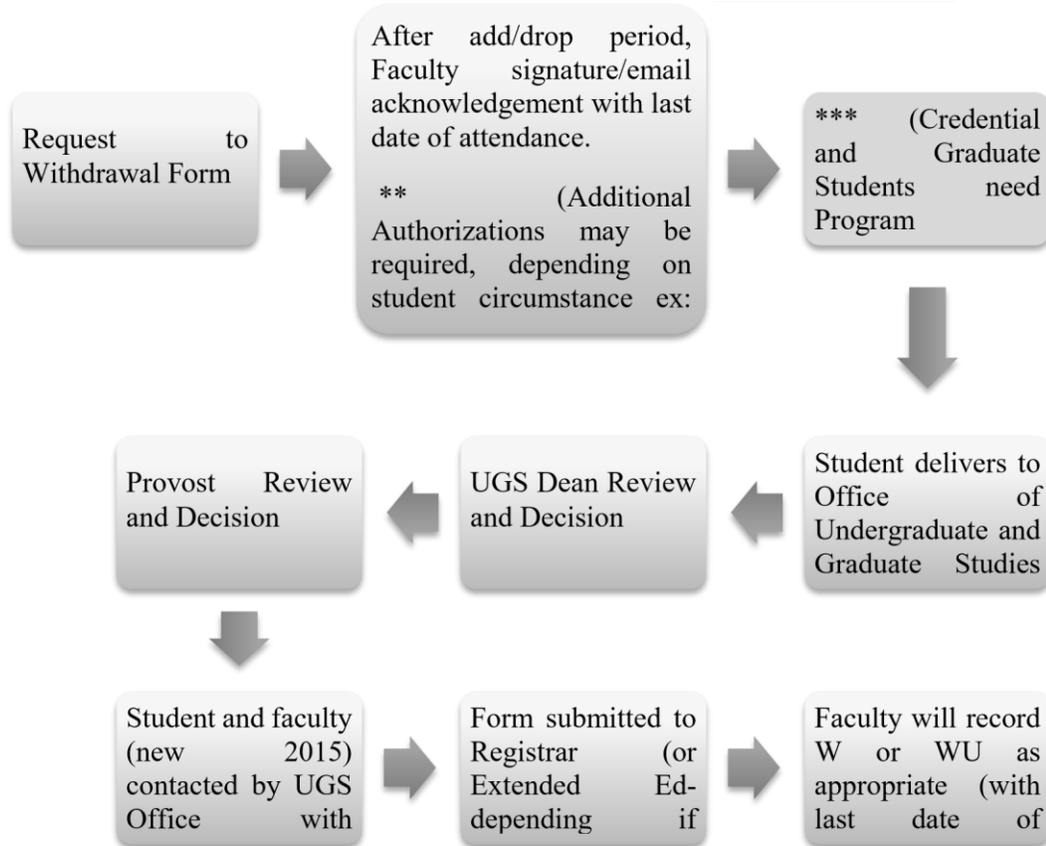
- ii. If want to end appointment early due to performance/discipline issues, address through discipline with due process rights
  - b. When relieved coach of duties and advised him would not reappoint him at end of current employment, without disciplining him, is failure to give careful consideration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

## APPENDIX IV: WITHDRAWALS AND APPEALS

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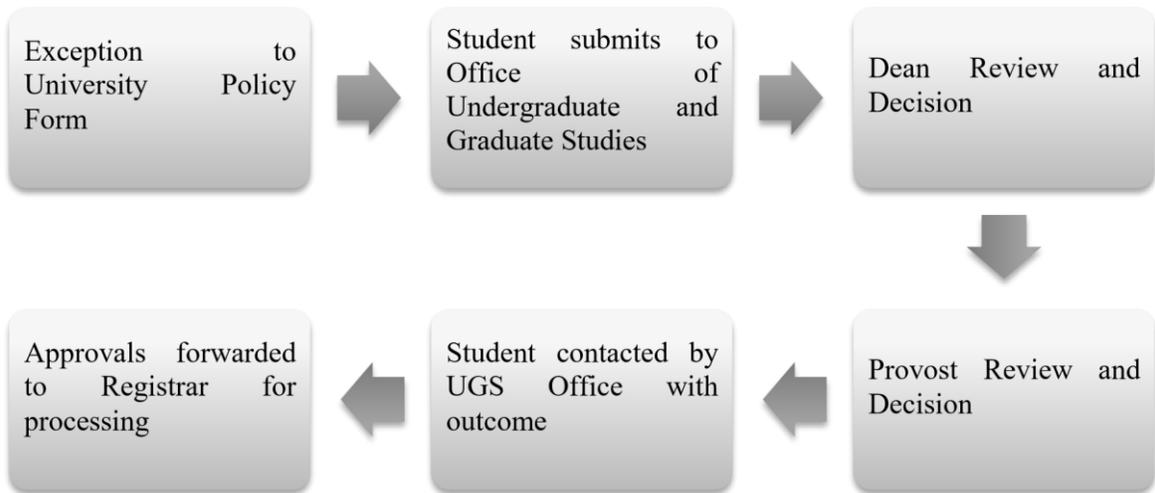
### Withdrawal Process

Detailed information about the Withdrawal Process is available on the [Withdrawal website](#).



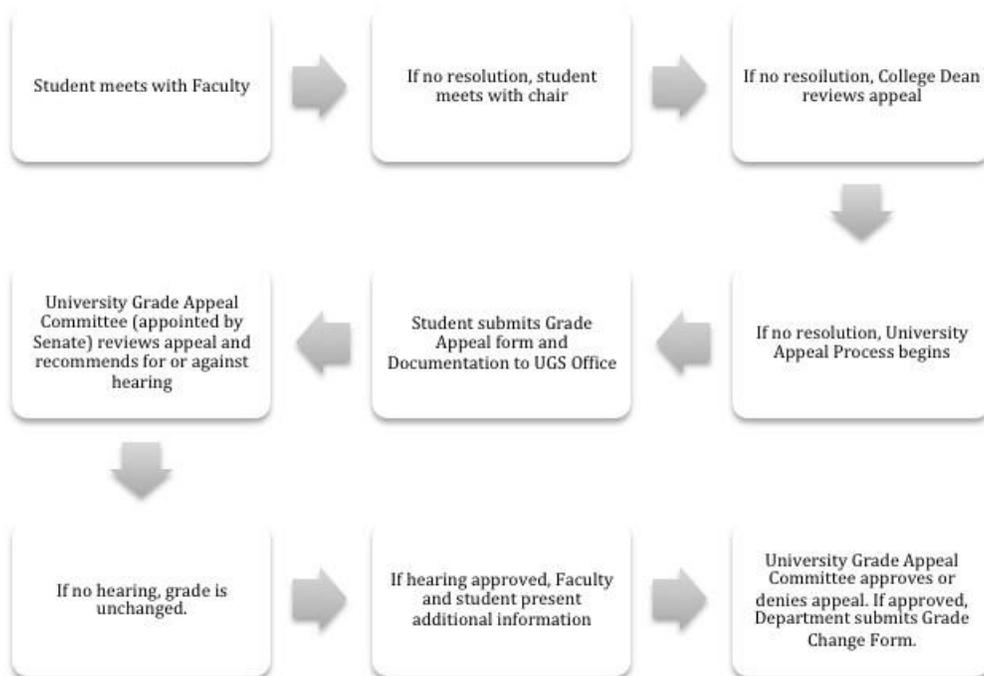
### Exception to University Policy Flowchart

Exceptions to University Policy are needed for, among other things: withdrawals after 80% of the session, degree requirement waivers, or late course drop/additions. Because of the nature of some of these petitions, the investigation and “solution engineering” (even in cases of petition denial) process can take a very long time.



[Exception Form](#)

**[Grade Appeal Flowchart](#)**



## Department Chair Common Petitions At-a-Glance

Add/Drop	<ul style="list-style-type: none"><li>• Academic Advisor--&gt;Department Chair/Coordinator--&gt;Registrar</li></ul>
Additional Units	<ul style="list-style-type: none"><li>• Academic Advisor--&gt;Registrar</li><li>• (831) 582-3937</li></ul>
Course Repeats	<ul style="list-style-type: none"><li>• Academic Advisor--&gt;department chair/coordinator--Registrar</li><li>• (831) 582-3937</li></ul>
GRAD 699 Registration	<ul style="list-style-type: none"><li>• Graduate Program Coordinator--&gt;Extended Ed</li></ul>
Grade Appeals	<ul style="list-style-type: none"><li>• Department Chair (please follow new policy thereafter)</li></ul>
Leave of Absence	<ul style="list-style-type: none"><li>• Registrar</li></ul>
Study Abroad Course Approval	<ul style="list-style-type: none"><li>• Department Chair or Designee--&gt;International Programs</li></ul>
Time Conflict	<ul style="list-style-type: none"><li>• Instructor--&gt;Campus Service Center</li></ul>
Title IX Complaints	<ul style="list-style-type: none"><li>• Title IX Coordinator</li><li>• (831) 582-4081</li></ul>
Withdrawal Petitions	<ul style="list-style-type: none"><li>• Office of UGS</li><li>• (831) 582-3680</li></ul>
University Policy Exceptions	<ul style="list-style-type: none"><li>• Office of UGS</li><li>• (831) 582-3680</li></ul>