School of Liberal Arts  
Handbook for Department  
Chairs  
August 2013  

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Chairs’ Primary Responsibilities: An Overview

Faculty
• Oversee all faculty recruitment and hiring including coordination with WFMO, OIE, including advertising, searches, interviews, and appointment paperwork.
• Follow procedures and deadlines for faculty actions concerning sabbatical leaves, retirements, 3rd year review, and promotion and tenure as needed.
• Communicate about and seek approval for medical, family, and non-research leaves.
• Hold regular department-wide faculty meetings, appoint and oversee departmental committees as needed.
• Make sure all conflict of interest forms are completed on a timely basis. Evaluate faculty performance and make recommendations for annual salary raises according to a departmental performance metric.
• Oversee all promotion and tenure cases and Professor of Practice/Lecturer reviews within the department, organizing committees, providing departmental letters and communications as necessary.
• Provide guidance to junior faculty in matters of teaching, service, and research and their progress toward promotion and tenure.
• Attend annual SLA dean’s office spring workshop on tenure and promotion.

Teaching
• Develop and submit annual schedule of departmental course offerings to registrar on timely basis. (Schedule should reflect balance in offerings, class times, and appropriate faculty staffing assignments.)
• Work with department faculty in responding to teaching initiatives such as service learning, Capstone, Writing Intensive Courses etc.
• Communicate anticipated adjunct and other course needs to the Dean’s office on a timely basis.
• Review faculty teaching performance (student evaluations) each semester and counsel faculty if problems exist.
• Maintain files of all course syllabi and current SACS assessment materials.
• Complete and deliver SACS assessment reports to the dean’s office annually.

Students
- Ensure departmental advising is provided.
- Evaluate requests for transfer credit.
- Certify students for completion of major requirements/graduation.
- Respond to student inquiries, problems, and complaints as needed in accord with existing policies.
Budget/Operations

- Maintain balanced departmental budget following established protocols for spending.
- Attend twice yearly budget meetings with dean’s office.
- Direct and supervise purchasing for departmental needs.
- Communicate capital expense needs to dean’s office.
- Oversee the safe operation of departmental facilities, communicating with Facility Services and administration about repairs and improvements.
- Work with dean, SLA development officer, and potential donors as needed for departmental fund raising.
- Maintain an up-to-date departmental website.

Staff

- Train, direct, and supervise departmental staff.
- Evaluate staff performance annually, recommend annual merit raises and update staff job description as needed.
- Oversee all hiring and termination procedures for staff as needed.

Liaison with Administration

- Serve as conduit for communication between the administration and faculty, staff, and students in your department.
- Attend monthly Chairs and Directors meetings and communicate information to faculty as needed.
- Observe usual lines of authority and responsibility sequence in working with the administration.
- Work with Office of Public Safety as needed to ensure a safe departmental workplace.

Upon Taking Office as the New Chair

Department chairs receive many reports and approval requests. For several systems you must take care of changing the routing of messages from the outgoing chair to yourself. Please ask your department administrator to help you update the chair’s information in the following systems:

Conflict of Interest
CONCUR
P-card approval
WFMO Deans, Directors, and Department Heads list-serve

In addition, you must register with IRBNet:
https://www.irbnet.org/release/index.html;jsessionid=93B3C1398E26EEA0BB5778DE9E33449B
Whom to Call

**Emergencies:** 865-5200  
**Campus Police (non-emergency):** 865-5381  
**Custodial Services (UGL):** 250-7224  
[http://tulane.edu/facilities/uptown/maintenance/custodial.cfm](http://tulane.edu/facilities/uptown/maintenance/custodial.cfm)  
**Facilities services:** 865-5445 (Emergencies and general building problems and repairs)  
**Power Plant:** 865-5249 (Heating or cooling problems), Heather Hargrave, Assist. VP operational manager 862-8426  
[hhargra@tulane.edu](mailto:hhargra@tulane.edu)  
**Property Management:** Scott Cordes, 865-5219 (furniture and used property disposal)  
**Long-term building and facilities issues:** Mary Clark, 862-8305 (office space, planned renovations, capital projects)

Faculty

Department Meetings

As chair, it is your responsibility to conduct department faculty meetings. Although there is no set procedure for these meetings throughout SLA, best practices suggest that a predetermined time should be set aside by the department when faculty members are free. Many departments select an hour such as Wednesday at noon or Fridays at 3:30 when no one has class. Most departments meet at least two times a semester, although some meet once a month and others more often. All chairs call additional meetings when necessary. For both regularly scheduled and irregularly called meetings, an agenda should be circulated at least one or two days prior to the meeting so that departmental members are aware of the issues and can offer additional topics for discussion. Departments should clarify who is expected to attend these meeting – all faculty or tenure and tenure-track -- and who has voting privileges. Those faculty expected to attend should supply explanations for their absences to the chair. Some form of record keeping should be generated, whether this is formal minutes or a simple report on activities. This report should be circulated to the faculty members and kept on file as it is a SACS requirement.

Position Requests and Recruiting

For all SLA faculty appointments please follow the guidelines below. **Please do NOT follow the guidelines listed on the Provost’s office home page.**

In consultation with the departments, chairs are responsible for making position requests. Please indicate whether the position is a replacement for a resignation or retirement. Such requests must be made on the headcount stabilization form: [https://bpm.tulane.edu/bpm/SWIFT.aspx?SWIFT_Call=login](https://bpm.tulane.edu/bpm/SWIFT.aspx?SWIFT_Call=login) Please note that this form can only be filled out by the chair, as the administrative assistant’s log-in will not be recognized. Once you complete the form, it then goes to the dean for approval and then to the Provost.

Job needs are discussed at the dean’s annual meeting and final requests are due around March 1st for searches in the following year. Under special circumstances, it may be
possible to “mortgage” a replacement position with an upcoming retirement or resignation.

In considering your request, please understand that departments do not hold lines; all unfilled or vacant lines return to the dean’s office. The only exception is for a position that was held by an individual who was denied third-year renewal or tenure. These lines remain in the department, although they still require a request and approval by the dean and provost. When justifying the need for any position, do not simply state that it is a replacement line. Rather, consider the need for the line in terms of areas of strength, developing fields, undergraduate and graduate teaching, connections with interdisciplinary programs, clusters of strength throughout SLA, etc. Also note the source of possible funding such as a current visitor line or an endowment.

Before proceeding with a faculty search, please review the link to the Tulane Best Practices Guidelines and Requirements for Faculty Recruitment and Hiring manual. [link]

It is a useful and comprehensive guide to best practices and specific procedures for all stages of the recruitment and hiring process, particularly in regard to building a diverse and inclusive faculty for our school.

Once your position is approved, you will need to submit the ad to the dean’s office and to Ana Lopez in the provost’s office. This ad should be in line with the language suggested by WFMO that requires you to state that: Tulane University is an EEO/AA employer. Women, minorities, and veterans are encouraged to apply. If you are planning to place a sizable boxed ad in the Chronicle, you should contact Bob Sheftic of the Graystone Group at RGSheftic@graystoneadv.com. This is a free service that Tulane uses to design your ad and often allows us to obtain a discount from the Chronicle. If you have questions about this, contact Ana Lopez (x 5261).

Once the ad is approved and the search is under way you should initiate the PRF (Position Request Form) in WFMO. This will help WFMO maintain a list of all open faculty positions at the university. Information about recruitment protocol and support from the dean’s office for the interview process can be found at: [link]

If a department will seek reimbursement for travel to interview job candidates at a conference, the department may bring in two candidates for campus visits and only interview a 3rd candidate if s/he brings diversity to the applicant pool. The 3rd candidate must be approved by the dean before the invitation is extended or the candidate’s expenses won’t be reimbursed. If the department will not seek reimbursement for travel to interview candidates at a conference, the department may bring in three candidates and invite a 4th candidate who adds diversity to the search with pre-approval of the dean. You may wish to screen candidates by Skype before selecting the finalists. The dean’s office conference room is available for this purpose, please contact Casey LeBlanc at 865-5225 to reserve the room. Please make appointments for all candidates visiting campus to meet the dean. The provost also wants to meet with candidates who are to be hired with tenure, if possible. Check with Melissa Bender in the provost’s office to see if a meeting should be scheduled.
After you select your candidate, you must inform the dean’s office and certify the approved salary. You must also fill out the forms with OIE for their approval. These forms can be found at: [http://tulane.edu/equity/forms.cfm](http://tulane.edu/equity/forms.cfm). Once you receive OIE approval, you are responsible for discussing the offer with the candidate. Please note that, in addition to salary, the dean’s office supplies $6000 in support that can be used by the individual for moving and computer (the division is up to the individual) and a $3000 start-up fund. We do not fund retirement for the first two years unless an individual is already vested in a program. If your candidate is employed at a university, please find out if she or he is currently in a program.

You should then fill out the FAF form that can be found at: [http://tulane.edu/provost/Faculty/upload/Recommendation-for-Faculty-Appointment.pdf](http://tulane.edu/provost/Faculty/upload/Recommendation-for-Faculty-Appointment.pdf). This form includes all the terms you have discussed with the candidate. Then send the FAF form, the approval from OIE, and the candidate’s transcript to the dean’s office. We will write the offer letter and send the entire packet to the provost for his signature. We generally give the individual about 10 working days to decide. Once the candidate returns the signed letter the dean’s office will process the PAF form and the candidate will be appointed.

The new faculty member will be contacted by Workforce Management and given an appointment for an orientation meeting and to get all necessary tax forms signed. We recommend you alert the new colleague to the New Faculty Members Guide to SLA to assist them getting established at Tulane. [http://tulane.edu/liberal-arts/upload/1116580_2.pdf](http://tulane.edu/liberal-arts/upload/1116580_2.pdf)

**Immigration and Visa Issues for New Hires**

SLA does not normally pay for costs associated with VISA acquisition and renewal. We do not have a list of immigration lawyers nor do we pay for their costs. As stated on the Tulane website: [http://tulane.edu/counsel/upload/Policy-on-Foreign-Scholars.pdf](http://tulane.edu/counsel/upload/Policy-on-Foreign-Scholars.pdf)

*Should the services of an outside attorney become necessary, the scholar is notified. In all cases, the scholar, not the hiring department, is responsible for the filing and legal fees and costs. Employment under an H-1B is not a guarantee of obtaining permanent residency status nor is Tulane obligated to sponsor or financially assist in obtaining permanent residency.*

New faculty hires who are foreign nationals should be directed to The Office of International Students and Scholars (OISS). [http://global.tulane.edu/oiss/index.html](http://global.tulane.edu/oiss/index.html). OISS supports students in Newcomb-Tulane College, as well as faculty members in all the schools. It is part of the Center for Global Education ([http://global.tulane.edu/](http://global.tulane.edu/)) of Newcomb-Tulane College. The office provides advising services with respect to immigration and visa matters; work permission; and cultural/personal orientations and acclimation to the Tulane and New Orleans communities. OISS also handles the immigration related aspects of the hiring process for academic departments.

**Green Card or Lawful Permanent Residency (LPR)**

Tulane’s General Counsel Office executes permanent residency applications. To view
the Green Card application procedures and a listing of General Counsel’s offered services, visit: http://tulane.edu/counsel/immigration.cfm

**Overseas Travel**

Tulane University has contracted with International SOS to offer each employee traveling abroad on University business the highest possible level of medical, personal, travel and security advice and assistance, as well as access to online information for up-to-date travel conditions and other important information. You should make sure your faculty registered with this service before leaving the country. Information about it can be found at: http://tulane.edu/counsel/oirm/copy-of-studyabroad.cfm/#Emergency

**Sabbatical and Research Leave Requests**

Please be aware of the information about such requests that are found in the faculty handbook on pages 122. On these pages, it states:

*Sabbatical leaves are considered to be a privilege, not a right, and will be granted only when the University is assured that the leave will not have adverse effects on departmental teaching, administrative responsibilities, or research, including the supervision of dissertations.*

*Sabbatical leaves may be granted "for the primary purpose of enhancing the value of the recipient's further service to the University and his or her profession through the media of study, research or publication undertaken to improve pedagogical techniques, solve administrative problems, broaden the scope of one's knowledge in his or her chosen field." In no case will a sabbatical be granted for the purpose of acquiring an advanced degree.*

*Applications for sabbatical leave should be accompanied by a detailed description of the work to be accomplished during the leave, the applicant's curriculum vitae, and a supporting statement from the applicant's chair, stating how teaching duties are to be covered during the leave. The dean will ordinarily require that the faculty member applying for a sabbatical submit an acceptable project proposal and that the faculty member granted a sabbatical submit a report at its end. All requests for sabbatical must be submitted to the Senior Vice President for Academic Affairs and Provost for final approval.*

*A faculty member may receive a one-semester leave with full salary, provided that no replacement for teaching services be made, or leave for one academic year at half-salary. In certain instances, with the approval of the dean and of the Senior Vice President for Academic Affairs and Provost, the department may use the other half of the annual salary to support a one-semester teaching replacement.*

*Eligible members include persons in the rank of assistant professor or above or librarians who have completed twelve semesters of full-time service in residence at Tulane prior to the leave.*

*Sabbatical leave is granted only if there will be the opportunity for at least one full year of University service upon return. Because a sabbatical leave is intended to provide the recipient uninterrupted time for research, extramural remuneration for employment during the period of leave is restricted. For a one-semester leave, income from regular
employment (e.g., teaching or salaried post in government or private business) shall be deducted from the full-time salary of the leave recipients. For a two-semester leave, income from regular employment shall not exceed one-half of the regular full-time salary of the leave recipient. Sabbatical time does not accumulate if the period between such leaves should be more than six years; e.g., after ten years without a sabbatical, a faculty member remains eligible for no more than one year at half pay or one semester at full salary. On rare occasions when, at the specific request of the dean, a faculty member postpones sabbatical leave for the convenience of the department, an agreement with the dean may be made to bank time toward a future sabbatical. This mutual agreement in writing must be sought by the faculty member before the time is to be banked.

As chair, you should be aware of several important issues related to the request of sabbatical and research leaves:

All sabbatical and research leave requests are due in the dean’s office by October 1st for the following year. Individuals who are even thinking of applying for grants must submit a form at this time as well. As the dean’s office and departments need to plan for the coverage of courses for the following year, we must receive notice of all possible leaves as a group. Individuals who submit requests after the deadline may not be approved. All individuals who have submitted a research form should then inform you as chair and the dean’s office as soon as they learn whether they have received the grant.

Applications for sabbatical leave, paid or unpaid leave are now made through an on-line academic leave request form:

Faculty should follow the step by step instructions, uploading their CV, a detailed description of work to be accomplished during the sabbatical and entering specific information such as the time period requested, whether they have received any grants and whether this is a paid research leave, sabbatical or unpaid leave. If a faculty member is requesting more than one leave, such as a semester long sabbatical followed by a semester long grant – paid research leave, each semester leave must be initiated with a separate request. The request is sent automatically to the department chair for your approval, after which you send it on to the SLA Dean and Provost. Applications for sabbatical, paid or unpaid leaves must be submitted by October 1st. If you have questions about the procedure, please contact Nicole Westerfield at 865-5232.

When the form reaches the chair for approval, you MUST include a description of how you will cover the lost courses. Realize that the dean’s office does not receive the returned salary on sabbaticals. Therefore, we cannot supply visitors for individuals on sabbaticals and such requests will not be supported. If the individual receives a grant, a visitor may be approved, although it is not automatic. If you feel that a faculty member’s leave would have a negative consequence on the proper running of your department, you should state that clearly. If you note in the form that no additional resources are needed, please do not expect us later to be able to provide additional support.

For faculty members who apply for grants that do not supply their entire salary, the dean’s office will generally provide a top-off up to 25% of the individual’s salary.
Make sure that your faculty members understand that the semester that they are on a leave does NOT count toward their next sabbatical. Faculty must accrue 12 semesters of teaching at Tulane between sabbaticals. In addition, without approval from this office, an individual cannot bank a semester by simply choosing to delay his or her sabbatical. As the policy states:

*On rare occasions when, at the specific request of the dean, a faculty member postpones sabbatical leave for the convenience of the department, an agreement with the dean may be made to bank time toward a future sabbatical. This mutual agreement in writing must be sought by the faculty member before the time is to be banked.*

Remember this is a mutual agreement for the good of the department. *It must be in writing prior to the banking of the semester.*

A couple of points about fourth-year research leave to remember. Unlike sabbaticals that allow the faculty member to choose ½ year at full pay or a whole year at ½ pay, fourth-year research leaves are only for 1 semester. The only way an untenured faculty member can receive a full year is if the second semester is supported by a grant. Moreover, while the sabbatical or grant-supported leave does not count as a semester on campus, the research leave does. Therefore, the individual can apply for a sabbatical after twelve semesters of teaching *including the research leave.*

All junior faculty going up for third year review are required to apply for an ATLAS grant ([http://web.laregents.org/wp-content/uploads/2012/07/ATLAS-RFP-2013-FINAL.pdf](http://web.laregents.org/wp-content/uploads/2012/07/ATLAS-RFP-2013-FINAL.pdf)). Tenured faculty applying for a sabbatical are also encouraged to submit an application. The Louisiana Board of Regents Support Fund (BoRSF) sponsors the Awards to Louisiana Artists and Scholars (ATLAS) Program. This program provides support to faculty members in arts, humanities, and social sciences disciplines to complete major scholarly and artistic productions with the potential to have a broad impact on a regional, national, and/or international level. The primary focus of ATLAS is the scholarly or artistic merit of the proposed work. Projects are assessed based on their necessity, importance, originality, and likelihood to have an impact on a broad academic and/or artistic community. Applicants may seek not more than $50,000 over a one-year period. The BoRSF typically releases a new ATLAS RFP in late September. ATLAS proposals are usually due in mid to late November. Associate Dean Kevin Gotham sends out information about ATLAS every January and August so that interested faculty can plan and develop proposals by the due date.

SLA views the ATLAS grants as a way to extend a 1/2 year paid sabbatical to a full year paid sabbatical. If a faculty member receives an ATLAS and he/she has been approved for a semester sabbatical or research leave, then the Dean’s Office will pay one semester at full pay and ATLAS will pay for the other semester at full pay. Thus, a faculty member would get a full-year of paid leave if he/she gets an ATLAS award. Given limited resources, the only way SLA can support ATLAS, which requires a 1:1 match, is for faculty members to apply for them the year before their leave or sabbatical. ATLAS awards can only fall during the academic year of the award and sabbatical.

At the bottom of the sabbatical and research form, you will note that the individual agrees to return to Tulane for a year after the sabbatical or research leave. The University takes this pledge seriously and can impose financial consequences on those who fail to meet
the obligation.
If untenured members of the department apply for grants, you should discuss the impact on
this absence on the upcoming reviews. If the individual will be gone during the period of
his or her third-year or tenure review, you need to make sure that the files are complete and
that all classroom visitations have taken place.

Finally, please stress to your faculty members that they need to submit a research or
sabbatical report to the Dean’s office by the end of the first semester of their return.

**Parental Leave**

On parental leaves, please consult page 123 of the faculty handbook:

*The University will grant faculty members a 6-week paid leave of absence from all duties
following the birth of a child or the placement of a child for adoption or foster care with the
faculty member. The faculty member should notify the Department Chair/Dean as far in
advance as possible, but no less than 4 months prior to birth in the case of pregnancy. If a
faculty member's 6-week parental leave occurs at such time that there would be significant
overlap between that leave and an academic term in which he or she would otherwise have
classroom responsibilities, the faculty member should request and be granted from the
Department Chair/Dean special relief from such responsibilities during that term. The
special relief, which would carry full pay, will not apply to non-classroom duties which
should be performed as usual. In most cases, significant overlap would be defined as four
weeks or more of the term.*

Unlike other leaves, there are no pre-printed forms for parental leave. Your faculty
member sends you a request with an explanation of the need for the leave. If you
approve it, you send both the initial request and your approval to the dean, with an
explanation of how you will cover the lost courses. The dean then acts on it and either
sends it back to you as denied, or if accepted, sends it forward to the provost. If
approved, you will receive the approval in writing.

Please note that:

a) Because of teaching schedules, such leaves are generally granted for an entire
semester.
b) The requested leave must be submitted four months before the leave is taken.
c) The approved leave should occur just following or during the semester that the
childbirth or adoption takes place. Except in the case of medical emergencies, we
do not provide teaching relief during a semester and then childbirth leave the
following semester.
d) As stated in the handbook, the faculty member is only excused from teaching; all
other duties must be performed. Faculty members on childbirth leave are
therefore expected to remain in the area.

**FMLA Leaves**

If a faculty member has arranged with Workforce Management to take an FMLA leave for
any reason, please inform the dean so that we can make the necessary payroll adjustment.
Requests to Extend the Tenure Clock.

According to the faculty handbook on pages 125-6:

Requests to stop the tenure clock for a one-year period for circumstances relating to the faculty member's health or responsibilities toward others may be granted. All such requests for an extension of the probationary period must be made by the faculty member in writing and should be submitted prior to the tenure review. The request must state clearly the special circumstances in the faculty member's situation that might justify an extended probationary period. The letter must also state that the faculty member making the request understands that he or she will not enjoy an entitlement or stronger claim to tenure by virtue of a continued membership on the faculty beyond the customary probationary period. The request is to be forwarded (in most cases via the department chair) to the dean. If the dean supports the request, the request, along with the dean's formal endorsement, is then sent to the Senior Vice President for Academic Affairs and Provost. If the dean does not support the request, the faculty member will be notified and will be free to seek further review of the request by the Senior Vice President for Academic Affairs and Provost. In all cases, a decision to extend the probationary period will be made by the Senior Vice President for Academic Affairs and Provost.

Again, this request has no form but follows the procedure outlined above for parental leave. Please note that this request cannot come the semester that the individual is up for review.

Annual Meetings and Raises

Beginning in mid-January, and scheduled over the course of two weeks, chairs meet with the dean to plan for the following academic year. At least two days before the meeting, you must submit the following in order to have a meeting:

a) Your prioritized wish list—equipment, special budget needs; staff
b) Faculty lines for searches in the next academic year. Please prioritize these requests and consider the possible relationship of the line to interdisciplinary programs. Please note whether a visitor is currently in the line or if there is an upcoming retirement.
c) Adjunct needs for the following academic year. Remember you should now be considering a yearly, rather than a semester, calendar.
d) Issues that will arise in the future—chair succession, retention, space, etc.
e) Faculty who will be required to come up next year for third-year review; promotion & tenure; sabbaticals and fourth year leaves; possible retirements.
f) Chairs’ self-evaluation form: see below
g) Faculty annual reports with CVs. Please submit their completed Digital Measures form.
h) List of merit-raise recommendations for your faculty. If we receive less than a 3% raise, the dean will reserve .05% from this allocation for additional merit. If we receive a raise of 3% or higher, you will receive all but 1% of the budgeted raise.
addition, the chair’s proportion of the raise pool will be deducted from your allocation and handled by the dean’s office. Within your allocation, you should consider merit within this group - rather than a general distribution across the board. Realize that these raises are suggestions only and should be in line with your approved metric. Please also include the names and specific accomplishments of those whom you believe should receive additional compensation. If you have a salary committee that makes a recommendation for the chair, please include that as well as a suggestion. Do not consider the promotion and tenure raise as that is not part of your salary pool.

Again, your raises should follow the metric that you have submitted to the office. We will be placing these on our website. In recommending raises, we stress that this process be clear to all your faculty members as we strive for transparency.

**Chairs’ Self-Evaluation Form**

1. Please comment on your role and accomplishments in the following areas over the last year. Please be specific about the functions that fall under your purview or are handled by a committee. If some of these areas do not apply (i.e., you had no crises or leaking roofs), just note as not applicable.

   - Departmental finances and budgeting faculty Hiring and evaluation Hiring/training/supervising office staff
   - Mentoring of faculty, especially junior faculty
   - Involvement of faculty in service to the university and school
   - Crisis management Facility oversight Diversity
   - Response to curriculum initiatives:
     - Public Service
     - Capstone
     - SACS
     - Core requirements
   - Other department initiatives – may include such issues as web design, fundraising, grants, newsletter, etc.

2. Future goals and planning. Please describe the goals that you have for your department in the coming year, especially as they apply to the categories above.

3. Please supply your digital measures report so that we may evaluate your scholarly, teaching, service, and professional activities. You may note if there is some special accomplishment that you wish to highlight.

**Faculty Mentoring**

Tulane University is committed to encouraging and facilitating faculty mentoring at all stages of an individual’s career. Mentoring fosters the professional growth of its mentors and mentees and facilitates effective communication and connectivity among those who participate in the process. Mentoring is both a formal and informal activity, and can address
all aspects of academic life, from approaches to achieving work/life balance to advice about professional milestones that must be reached in order to advance through the ranks. In addition to one-to-one pairing of junior faculty with more senior faculty, faculty mentoring may include department social events, invitations to professional conferences, teaching and research collaborations, and developing individual career plans.

It is part of your job as department chair to help your faculty become better teachers and researchers. All junior faculty (and some not so junior) benefit from having a mentor in the department and chairs should consider assigning a mentor to new faculty or be an active mentor yourself. Chairs should encourage junior faculty to cultivate a network of peers and more senior colleagues as mentors and advisors to get a complete overview of the requirements for academic success. Here are some helpful points:

- Encourage faculty to share resources related to teaching strategies, successes and resources
- Develop a system for faculty colleagues to observe one another's teaching (perhaps reciprocally), with the goal of improvement rather than judgment
- Meet with junior faculty members in your department every year to discuss research and teaching
- Make sure junior faculty members understand how to ensure positive relationships with students, including mundane things such as setting up appointments, publicizing office hours and then keeping them
- The Center for Engaged Learning and Teaching (CELT) provides resources that can help faculty become more effective teachers. This information is increasingly important given the University's strategic focus on engaged research and teaching
- The provost’s office hosts mentoring workshops and provides helpful mentoring information pertaining to choosing a mentor, characteristics of a mentor, a mentor's roles and responsibilities, characteristics of a mentee, and a mentee's roles and responsibilities. http://tulane.edu/provost/Faculty/mentoring/

Promotion and Tenure

Junior faculty are often anxious to know what it takes to “make tenure” in their field. Chairs can help them by clarifying what the expectations are in your discipline regarding such things as:

- Striving to achieve impact through a focused research program
- The importance of writing grants to support research and teaching activities
- The relative importance of books vs. articles, long articles vs. short ones, and single vs. multiple authored publications.
- The expected quantity and rate of publication
- Making sure they understand what counts as premiere outlets for publishing
- How important it is to present their research at conferences and professional meetings
- The necessity that their body of research be regarded as high in quality, originality, and impact

Chairs should make sure junior faculty have studied the SLA website on Promotion and Tenure which details

- the criteria for tenure and promotion
- the nature of the tenure and review process, including deadlines
- the role of the promotion and tenure committee, role of departments, and SLA
procedures and criteria

- the preparation of dossiers (teaching, research, service, external referees and letters)
- conditions of tenure
- evaluation, reappointment, and promotion of tenure-track track faculty to tenured states

As chair, you are responsible for overseeing the reviews of all faculty members in a timely and appropriate manner. The first step is to familiarize yourself with the required review dates of your faculty. The traditional schedule requires that, in addition to the required annual review, all PoPs, Lecturers, and post-docs should undergo an in-depth review in their second year; for PoPs and Lecturers, they would be reviewed as well in their fifth year and every three years after that. In addition to the required annual review, all untenured, but tenure-track faculty need to be reviewed at the start of their third and their sixth years. Some faculty, however, chose to come in with time served at another university. These dates are clearly spelled out in their offer letters. Others may elect to come up early, although such a decision should be discussed thoroughly with the dean and is generally ill-advised. You should be aware of the plans and the progress of your faculty members as they move to review.

**Tenure and Promotion to Associate and Full Professor: Sequence and Responsibilities**

Please familiarize yourself with the review calendar:
http://tulane.edu/liberal-arts/promotion-tenure-timetable.cfm

For all promotion (to Associate and Full professor) and third-year cases, the process begins during March of the academic year preceding review. On March 15th you should place the declaration of review form in the boxes of all tenure track faculty members except full professors. This form can be found at:

As you will note, this form must be returned to you, signed, and sent to the Dean’s office by the end of the first week in April. The P & T Committee will then assign a case officer to each of the declared files. Individuals who have not indicated their desire for review on the form by the specified date cannot decide at a later date that they wish to undergo review.

As chair, you should meet with the assistant professor and associate professor candidates to review their role in the process as well as the standards for promotion:
http://tulane.edu/liberal-arts/promotion-tenure-guidelines.cfm
http://tulane.edu/liberal-arts/promotion-to-full-guidelines.cfm

The duties of the department for promotion are spelled out on the SLA website at:

You should familiarize yourself with the rules for establishing a committee, seeking outside reviewers through consultation with department members, and holding a discussion to vote on the case. You should also review the instructions on the provost’s website that can be found at: http://tulane.edu/provost/acadreview.cfm

There are a few points of which you should be aware as you review these sites.
In obtaining evaluators for candidates applying for full professor, they should be full professors at comparable institutions. In the departmental letter, the chair should explain why the specific individuals were chosen as outside reviewers. If an individual comes from a superior program at a school generally ranked below Tulane, the quality of the program or department should also be explained in the departmental letter. For promotion to associate professor, we prefer the evaluators to be full professors, although in rare cases they can be at the associate rank.

Sample letters to reviewers as well as the provost’s guidelines can be found at: http://tulane.edu/provost/upload/promotion_and_tenure_guidelines.pdf

It is your responsibility to make sure the file sent to the Dean’s office is complete. Review the various sections of the file, checking that each has the correct information. The format for the file can be found at http://tulane.edu/liberal-arts/curriculum-vitae-format.cfm

In writing your letter, you should report the vote of the department. You should also explain the significance of the individual’s work and its place in the field, rather than simply summarizing the books, chapters, or articles. If the individual has chosen to publish in other than a university press, you should explain the quality of the press, its editorial process, and the reasons the candidate chose the venue. You should address the individual’s teaching and service thoroughly.

The P&T committee may come back to you with a request for additional information or clarification. Please submit this in a timely manner. If the P & T decision differs from the department, they will ask you to call a meeting of your tenured faculty to discuss whether you wish to reconsider your review or your vote. Please report the results of the meeting to the P & T committee in a formal letter.

In the case of individuals who are turned down for tenure, they can apply for reconsideration the following year. The procedure is laid out on our website at: http://tulane.edu/liberal-arts/promotion-tenure-guidelines.cfm#NegativeRecom

Please note that the candidate is responsible for requesting consideration by submitting a letter and material illustrating “new evidence of scholarly or teaching excellence” no later than the last day of the penultimate semester of the candidate probationary period. The department has no role in the initial submission of the request. At this point, the P&T Committee decides whether the case should be reconsidered. If it decides not to reconsider the case, the decision is final. The case does NOT go back to the department or the Dean. If the P&T Committee votes to reconsider, the department then proceeds as it would in a usual case for promotion and tenure.

Please note that the official date of termination is the year following the initial negative decision, as is stated in the letter the individual receives from the provost. Although the individual may seek reconsideration during this termination year, as chair, you should encourage the individual to make appropriate plans if a positive case for reconsideration is not reached.
Third-Year Reviews

Like review for promotion, the process begins by obtaining a review declaration form from the candidate that can be found at:

The chair should review the responsibilities of the candidate:
http://tulane.edu/liberal-arts/third-year-review.cfm#RoleCandidate, as well as the responsibilities of the department:
http://tulane.edu/liberal-arts/third-year-review.cfm#RoleDepartment

Unlike promotion cases, the candidate only needs to prepare one dossier. Although statements on research, teaching, and a five-year plan are expected, no service statement is required nor do we seek outside letters. As chair, you should ensure that the file is complete. The letter from the department should contain the recorded vote at a scheduled meeting as well as a clear statement of the candidate’s work and role in teaching and research. For third-year individuals, SLA does not expect service beyond the department but it should be noted if it has occurred. If the candidate receives a negative ruling from the P&T committee, she or he can follow the steps for requesting reconsideration, and the department plays the same role as explained for tenure cases.

Please note: Starting in academic year 2013-14, all junior faculty going up for third year review are required to apply for an ATLAS grant

Review of PoPs, Lecturers, and Post-Docs

PoPs, Lecturers, and Post-Docs will be reviewed at the end of their second year; PoPs and Lecturers will also be reviewed at the end of their fifth year and every three years after. As listed on the SLA timetable, http://tulane.edu/liberal-arts/promotion-tenure-timetable.cfm#SecondYear, the dossier is due to the Dean’s office by the middle of March. This dossier should include a C.V., all teaching evaluations, and a statement of teaching. The chair should add an evaluation of the individual’s work and a report or reports based on classroom visits. If the candidate wishes to include material on research or service, he or she may do so and the chair may comment. PoPs, Lecturers, and Post-Docs, however, will largely be assessed on their contributions to teaching.

Contacts for Faculty Questions

Carole Haber – 865-5225 (Faculty problems and issues, hiring, P&T, academic issues, medical, unpaid, family leaves)
Mary Clark - 314 -2207 (Adjunct faculty needs)
Tara Hamburg - 314 2810 (P&T process and file handling)
Nicole Westerfield - 865 5232 (Sabbatical rotation schedule, computer replacement)
Anna Charles - 865-5225 (Visiting faculty, PoP’s and adjunct appointments)
Registrar’s office – 865-5231 (Class scheduling, room scheduling)
Workforce Management -865-5280 http://tulane.edu/wfmo/index.cfm
Teaching

Schedule of Courses

The department chair is responsible for providing faculty with their teaching assignments. In most departments, the process of developing the curriculum and the specific course offerings is a collaborative one. The chair, however, must maintain oversight of the range of course offered and their frequency and staffing. It is important that an adequate number of courses be available at all levels on a cycle frequent enough for students to complete their major requirements. The registrar, however, will continue to request the course schedule only for next semester.

It is also important to ensure that there is adequate enrollment in courses to justify offering them. A new policy is being developed to limit courses that do not have a minimum enrollment of 6 undergraduates or 4 graduate students. If such courses are part of the usual 2/2 load for tenure track faculty, it is not a good use of our best resources and does not serve the department well. The chair should be conscious of this issue when the schedule is being prepared and look at past enrollment data and suggest alternative courses if it seems likely a class will not reach these thresholds. For a new faculty member or course that has little track record, low enrollment numbers may be acceptable. As it currently stands, the enrollment policy stipulates that if a course does not reach these levels it may be taught but the faculty member will need to teach an additional course the following semester to make up for it. If low enrollment courses must be taught to provide key elements for majors, they should be taught on top of the 2/2 load, or coupled with another course as is often done in studio art.

Another common problem is that senior faculty often prefer to teach upper-division courses and the larger introductory-level courses are staffed by adjuncts, graduate students, or visiting faculty. Foundation-level courses typically are taken by the largest number of students. Having our best faculty scholars teach them benefits our school. It also attracts majors into the discipline. Having taken a course with our best faculty, they become excited about the field. The chair should encourage faculty to offer a range of courses, including those at the introductory level.

A related issue is the times at which courses are offered. The Provost has distributed a schedule for all departments to follow in scheduling classes to maximize the use of general pool classrooms and minimize scheduling conflicts for students. All classes scheduled in general pool classrooms will follow one of these standard meeting patterns:

**3-Credit Courses:** MWF beginning at 8:00 am until 4:00 pm for 50-minutes, each with a 10-minute break between classes, TR beginning at 8:00 am until 3:15pm for 75-minutes, each with a 15-minute break between classes, or one 3-hour block for seminars MWF beginning at 3:00 pm or TR beginning at 3:30 pm.
4-Credit Courses: MTWRF beginning at 8:00 am each course will consist of 3 each 50-minute and 1 each 75 minute class or 2 each 110 minute classes.

Exceptions:
In the event that a non-standard meeting pattern is pedagogically appropriate, in the case of a seminar-type course, then a non-standard meeting pattern may be considered only between the hours of 3:00 PM and 5:00 PM, M, W, F, or between the hours of 3:15 and 5:00 PM on TR. Please note that a non-standard meeting pattern could fall on a MW, WF, MF, or TR, only between the hours of 3:00 and 5:00 PM.

Also, please remember that each academic department must schedule classes in all available time slots before repeating a time slot. For example, a department that submits two courses for TR 11:00 AM; but has not scheduled any 8:00 AM classes, will be asked to fill all slots before submitting an additional 11:00 AM course. By utilizing all meeting times and adhering to standard meeting patterns, faculty will have better access to tech-ready rooms and students will have more choices when building their schedules. The Registrar’s office asks departments to submit class schedules by printing and editing the previous year’s schedule of classes. This Schedule Edition form is part of the new Banner system and will require instructors to be listed by their instructor id number rather than their name. (These can be found on the Banner “Spaiden” site as well as on their Blackboard page.) The course schedule must be submitted to the registrar by the date provided, typically mid-September and February, to allow them time to enter the information two weeks before students begin registering. All changes to the schedule should be made by e-mailing classeschedule@tulane.edu The Registrar’s office will respond as necessary.

Departments are urged periodically to check the accuracy of the course listings online to verify that the changes have been made and follow up with an email to classeschedule@tulane.edu or a call to Peg Spencer if they have not.

Teaching Initiatives

The department chair needs to verify that the departmental course offerings are aligned with School- and University-wide initiatives including Service Learning courses, Writing Intensive courses, Honors courses and Capstone courses. The chair should take a leadership role in responding to departmental needs in this regard. It is also the chair’s responsibility to adhere to the Service Learning course offering commitments made as part of the departmental planning grant process.

Adjunct Teaching Needs

The long-term goal of the University is to reduce the number of adjunct faculty. These lines are funded to assist departments with staffing critical course needs and to replace faculty on leave. Chairs are encouraged to maintain a file of qualified individuals who are available to teach as adjunct faculty. (See Faculty Hiring.) Annual requests for adjunct faculty for the following year should be made to the Dean in the early spring. Requests for unanticipated adjunct needs should be submitted as soon as they are anticipated but no commitments should be made until approval for funding is received.
Adjuncts are paid a standard rate of $4000 per 3-credit course and $5000 per 4-credit course. Adjuncts may not teach more than 4 courses a year but they may be re-appointed indefinitely contingent on adequate performance. Each department must have in place a process to review adjunct performance.

**Teaching Performance**

Chairs should review the student course evaluations when they are made available each semester to verify faculty teaching is satisfactory. Classroom visits are also helpful, especially to review junior faculty and should be included in the review and tenure files. Faculty members whose evaluations are noticeably low should be counseled about their teaching effectiveness and their evaluations monitored for improvement. Adjuncts with a record of unsatisfactory teaching should not be reappointed.

Chairs should encourage faculty to visit the CELT office in Richardson Hall or its website: [http://tulane.edu/celt/](http://tulane.edu/celt/) Tulane University’s Center for Engaged Learning and Teaching (CELT) provides theoretical and applied resources, tools and direction to the university community to realize the goal of engaged learning at Tulane. CELT is committed to facilitating the transformation of our students into creative, inquisitive, ethical, and responsible scholars and citizens of the world.

CELT has four core areas: Classroom Engagement, Research Engagement, Experiential Engagement and Social Innovation Engagement. Each core area offers varied opportunities and programs for faculty to develop skills, share techniques and learn about best practices in engaged learning – learning in which students are active and responsible participants in their own learning process. Located in 310 Richardson Hall, CELT encourages student participation with the Student Fellows Program and events directed at students to assist with research, mentoring and social entrepreneurship. Faculty are encouraged to attend a range of teaching based programming, learn about resources and apply for Classroom Enhancement Grants.

**Syllabi and SACS Assessment Procedures**

Syllabi for all courses should be collected and filed by the department every semester. The chair should verify that they comply with SACS guidelines, including specific learning outcomes for the course and their relationship to the learning outcomes for the major. The chair should also verify that the academic major or program learning outcome assessment process is in place and the assessment forms are updated and complete at the end of each year. Examples of and resources for syllabi and major assessment can be found on the SLA website: [http://tulane.edu/liberal-arts/assessment.cfm](http://tulane.edu/liberal-arts/assessment.cfm)

*Every Department is responsible for assessing its program outcomes - undergraduate majors (and minors if no major exists) and graduate degree programs every year.* Tulane successfully completed its most recent review by the Southern Association of Colleges and Schools (SACS) in the spring of 2011, but there will be a five year follow up review and subsequent reviews after that. Program assessment must be done annually. The chair must make sure faculty or faculty committees undertake the assessment procedures they
established and the updated assessment form should be sent to Associate Dean Clark to assemble for the School and send on the Katy Busbee, the Director of Institutional Assessment. Forms for AY 2013-14 are due in the Dean’s office by October 15, 2013. Depending on the methods established this may require collecting student papers for assessment, evaluating student work for capstone classes, synopsizing student course evaluations, circulating surveys to students as well as other direct and indirect assessment methods. If necessary departments may elect to change their assessment procedures as they work through the assessment process, to better measure the learning outcome their students achieve.

Policy on Short-term Faculty Absences from Scheduled Teaching

As teaching is a major responsibility of all SLA faculty members, they are expected to meet their scheduled classes. This includes the first day of class and throughout the semester to the conclusion of the final exam period. However, occasions do arise when a faculty member must be absent. This policy is designed to guarantee that students receive the educational experience to which they are entitled as well as to ensure that faculty members have flexibility for professional activities that take them off campus during the semester.

1. When a faculty member cannot attend class due to illness, he or she should inform both the chair of the department and the administrative assistant as soon as possible. If possible, the faculty member should notify students via email and/or Blackboard that a class has been cancelled. If the absence is likely to persist for any length of time, the faculty member should discuss the best arrangements for providing alternate instruction during the illness.

2. When a faculty member has a professional engagement, such as a conference or an invited lecture, that entails missing more than one class session in a course, the faculty member should notify the chair as soon as the engagement has been accepted. The faculty member then must discuss with the chair arrangements for providing instruction. Such instruction might include but not be limited to: a make-up session, the teaching of the class(es) by colleague(s), an examination, a guest speaker internal or external to the University, a lecture by another faculty member or a graduate student, a relevant film or video, a discussion group lead by student(s) in the class, a formal session with a reference librarian, an out-of-class assignment or some other in-class assignment. Under no circumstances should the faculty member arrange for the coverage of the course or contact an individual to teach the class without the approval of the chair.

3. Chairs should inform the dean of their absence and follow the above policy. They should also appoint an individual to act in their place if an emergency arises.

4. Faculty members who do not follow this policy may be subject to a number of consequences, including loss of a semester credit toward sabbatical, unfavorable salary adjustments, or, for non-tenured faculty, the nonrenewal of contracts.

The only exceptions to this policy are leaves of absence protected by the Family Medical Leave Act or other state or federal leave law.
Graduate Programs

The chair should oversee the administration of the departmental graduate program(s), which often includes assigning a departmental director or committee for graduate studies. In general, the SLA graduate studies office is responsible for the official receipt and acceptance of candidates, as well as the allocation of financial awards and all official correspondence. Ann Schumacher, Director for Liberal Arts Graduate Programs (aschumac@tulane.edu) should be the first source for inquiries about procedures and actions from the department. The following are responsibilities to be addressed at the departmental level.

Admissions

Promote and advertise the program, recruit and facilitate the admission of graduate students.

Provide prospective students with access to information about the graduate program, financial aid, areas of specialization, policy on transfer credit, admission requirements, degree requirements, admission to candidacy, termination policy, satisfactory progress requirements, average time to completion of degrees, and information about career experiences of graduates of the program.

Provide relevant and current information about the graduate program to the SLA graduate catalog, and update the departmental graduate handbook and website.

Curriculum and Academics

Establish, periodically review, and communicate requirements and overall standards of academic performance for the specific graduate program. This oversight should include the graduate curriculum and degree requirements, general examination topics and committee membership, and student progress as determined by grades and progress along the timeline established for completion of the program.

Prepare students for academic careers through courses, workshops, seminars, exams, and other activities to train students to be scholars and researchers. Provide opportunities for professional development including instruction in vita creation, presentation of research at scholarly meetings, publishing articles, and grant writing.

Foster and cultivate pedagogical skills to teach at the college and university level. Supervise research and teaching assistants to help students hone their research and teaching skills.

Provide information to graduate students regarding their academic rights and responsibilities, faculty expectations, professionalism, ethical conduct, and school and department grievance procedures.
Financial responsibilities

Be conscientious about not exceeding commitments for the number of graduate fellowships/total support available for your department each year. Maintain close communication with the SLA Director of Graduate Studies about the students accepted and offered financial support. Remember that departments can unofficially announce an award but the letter must be signed and sent by the graduate studies office.

Provide students with information about any available student financial support in the program, such as summer merit awards, travel money for research or conferences, or other financial support

Teaching Contacts:
Ann Schumacher – 314-7859 (Graduate programs, admissions, and stipends)
Carole Haber – 865-5225 (Faculty load and problems/student problems and issues)
Mary Clark – 862-8305 (Adjunct faculty needs)
Kevin Gotham - 314-3004 (Curriculum Committee Liaison)
Nicole Westerfield – 865-5232 (Curriculum Committee Liaison)
Registrar’s office – 865-5231 Peg Spencer (Class scheduling, room scheduling)
Andrew Martinez - N/T College Assoc Dean- 865-5720 (Advising issues, students at risk)
Molly Travis N/T College Assoc Dean- 865-5720 (Honor board issues, academic requirements)
Educational Resource Center – 865 – 5113 (Student counseling and advising)

Student Issues

Departmental Major Declaration

Students electing a particular major use the declaration form: http://tulane.edu/advising/upload/Major-Minor-Form-10.pdf
This must be signed by the chair and then the student is assigned a faculty advisor who should advise the student on the major requirements. The advisors should then take over the responsibility of signing the form.

Every semester you will receive a list of declared majors and minors as well as intended majors. Often the number of “intended” majors are as much as two times the number of the “declared” majors. However, only the declared majors who have signed the forms can be counted in your major numbers. As such, it is essential that all students who want to major in your subject submit this document. Some students believe that by indicated their “interest” when they entered Tulane, they have declared their major. Please make sure all your faculty know that major counts depend on the materials received by the registrar and reported to the dean’s office.

Departmental Approval of Transfer Courses

Either the chair or a designated faculty member needs to be responsible for evaluating
requests for transfer credit from other institutions on a regular basis. Students must get a form and initial approval from the advising center http://tulane.edu/advising/ and should provide a transfer credit form and materials from the institution such as catalog copy or course syllabus. Courses should be roughly equivalent in content, academic rigor, number of credits and duration of the course. Courses that are not equivalent to the content of a departmental course may be accepted as electives by writing in “elective” in the box for the course number.

**Degree Audit Substitution**

The chair or undergraduate advisor may approve a course change/substitution to the published requirements for a major and have that substitution recorded on the student’s audit with the Degree Audit Substitution Form: http://tulane.edu/advising/upload/Degree-Audit-Substitution-Request.pdf

**Certification for Graduation**

At the end of each semester the Registrar’s office will send over a stack of student transcripts/audit forms and chair or faculty designate should review each student’s audit and verify they have satisfied the major degree requirements. The signed forms must be returned to the registrar by their due date or the student will not be approved for graduation. The Chair has the final approval on these matters and may (in unique circumstances) certify a student even if the student has not met all the published criteria for the major.

**Grade Grievances**

As chair, you are responsible to see the procedure is followed for grade grievances and you may be called upon to play a central role in the initial stages. Please note that this process must be done within the time period specified. If the summer or winter breaks interferes with this, the procedure must take place within two weeks of the beginning of the next semester.

According to page 16 of the student guide:

1. Within one month of receiving the grade or other cause of complaint, the student should make an informal attempt to resolve the grievance by approaching the teacher or other academic supervisor.

2. If student and teacher cannot arrive at a mutually satisfactory solution within seven days, the grievance should immediately be referred by the student to the department chair for resolution, or to the dean, if a division has no department.

3. If the complaint cannot be resolved by informal mediation within seven days of its referral to the department chair, the chair should invite both the student and the teacher to submit written statements of their opinions concerning the grievance to an academic grievance committee. The committee should render a decision in the matter within ten days of receiving the written statements. The committee records should contain not only
the decision but an explanation of the grounds upon which the decision was reached.

4. One copy of the committee report should be sent to the dean of the school (of the student involved). If either the student or the teacher involved is dissatisfied with the committee’s decision, he or she may appeal to the dean within five days of receiving the decision. The dean may uphold, reverse, or return for further consideration, the committee’s finding. The dean’s decision should be made within ten days and communicated in writing to all principals in the case. In the event that the dean returns the case to the department for reconsideration, all procedures and appellate avenues described in sections 3 and 4 of this document are again operative. The dean ultimately must uphold or reverse a departmental decision based on reconsideration of its earlier finding.

If, at the point the student is still dissatisfied with the rule, s/he can file a written appeal with the Senate Committee on Academic Freedom and Responsibility of Students within five days. At that point, you, as chair, no longer have involvement in the issue.

Budget / Operations

Department chairs must oversee the budget and all spending within the department. It is important to learn to read the standard budget printout from DataStore and know how financial information can be tracked. The chair should review the budget statement with the departmental administrative assistant every month and track current and anticipated spending in light of available funds in the 2, 4 and 6 ledger accounts available in your department. The departmental administrative assistant should have access to BDS and use it to verify budgeted expenses and available funds in endowed accounts.

The chair is responsible for concluding the fiscal year with a positive balance in the departmental accounts. Two budget meetings with the SLA Dean’s office are scheduled each year to provide guidance and answer questions as necessary. Prior to this meeting it is recommended the chair and dept. administrative assistant review their recent budget statements and be prepared to explain deficit spending or other anomalies.

An Overview of Typical Departmental Budget Management

The university operates on a fiscal year calendar that begins July 1 and ends June 30. In general, all departmental spending should be concluded by the first of June to allow time to update the accounts through the 4 closing cycles. University accounts are described as 1 – 6 ledgers. 2 ledger accounts are budgeted for a fiscal year and at the end of the year any surplus (or deficit) disappears and the next fiscal year begins with the new budget. Any deficits are charged to SLA so it is important to complete the year in the black. 4 ledger accounts are endowed and the accumulated interest that is available to spend will show up in the BDS report. The DataStore system will show the amount of quarterly interest deposited to date. The interest income can be spent up to but not exceeding the total available. 6 ledger accounts are non-endowed accounts that receive funds for special purposes from donors or lab fees or other sources. The unspent balances from 4 and 6 ledger accounts continue to accumulate but are “frozen.”
**Frozen Funds**

As the university has been paying down the debt from post-Katrina obligations, the administration has decreed that any balances in 4 or 6 ledger accounts are “frozen” and cannot be spent without special written permission from the dean, provost and CFO. Departments are allowed to spend any income from a 4 or 6 account that **accumulates during the current fiscal year**, but not income from previous years.

Department chairs may request frozen funds be unfrozen and made available to spend for specific pressing needs. To do so the chair sends the Dean an email requesting the funds be unfrozen and includes the following four pieces of information: 1. The amount you are requesting to be unfrozen. 2. The specific purpose for the funds. 3. The account number in which the funds are currently frozen. 4. The total amount currently in that account. The dean will then endorse the complete request (as appropriate) and send it to the provost and CFO to authorize.

**Faculty and Staff Salaries:**

All salaries are budgeted each spring for the next fiscal year in the SLA Dean’s office. Generally, once the budgeting process is complete April 1st, they cannot be changed, except to add a supplement or terminate a line. Salary lines are normally in the department’s 2 ledger account with occasional 4 and 6 ledger accounts, but budgeted salary dollars cannot be spent for anything else. This information may be viewed in BDS. It is important to review this information each semester and make sure there are not people charged to it who are not teaching in your department. Normally the amount budgeted is sufficient to cover the entire costs of the salaries that are drawn from those lines and no action is needed. If it appears that the account line is drawing down the balance excessively it should be investigated to determine why.

**Chair Stipends**

The annual stipend is based on the number of faculty in the department. Currently the rate is 1-9 faculty members, $5,000, 10-15, $7500 and over 15, $10,000. The summer stipend is a flat $2500 and reflects the expectation that the chair or his or her designee will be in the office throughout the summer to attend to issues including fall appointments and Promotion and Tenure cases. The summer stipend may be divided or assigned in total to the chair’s designee as appropriate.

**Operating Expenses**

Each department is provided with an operating budget in the department’s 2 ledger account to pay for all normal operating expenses such as postage, phone use, paper and office supplies, small departmental repairs and maintenance, furniture needs, etc. This account is the primary source of discretionary money for most departments and the demands on it are usually greater than the supply. Be watchful not to overspend it early in the academic year. Normally all purchasing is done by the designated departmental staff member(s), but faculty may be reimbursed for authorized purchases. Please note that in general, sales tax is not paid by the university nor will it be reimbursed if paid by an
individual. Procedures for purchasing can be found at the Materials Management website: http://www.matmgmt.tulane.edu/policies_and_procedures_manual.html#01

SLA augments each department’s operating budget, adding $500 per year, provided the department finished the previous fiscal year in the black (not in deficit) in the non-salary portion of the departmental budget.

The “P card” should be used for making most purchases for the department and it minimizes the paperwork considerably. The normal spending limits on the card are $2500 per purchase and $10,000 per month. http://www.tulane.edu/~pcard/ The P card may not be used for any travel or entertainment (hotel, restaurant) expenses.

Departments may apply for a Travel and Entertainment card for those purposes. The chair is responsible for viewing and authorizing the spending on any purchasing cards the department uses. When funds are spent from any account an object code must be provided which codes the expenses according the university’s accounting codes. This makes it easier to track the spending within the department.

Departmental needs for larger capital expenses such as computers, large equipment, furniture or building repairs should be communicated to the Dean (see annual meeting under Faculty) and if approved SLA will provide additional funds for particular needs. Purchasing with these funds is done through the departmental operating account and then reimbursed from the dean’s office with an IT (Interdepartmental Transfer).

The Department of Materials Management administers the centralized purchasing services for all departments of the university. Large purchases (above $2500) require the use of the requisition and purchase order. This electronic process involves the creation of a requisition through the Tulane Accounting Management System (TAMS). Payment is not made until the user receives all the items in the system and the invoiced amount is within tolerance of the price on the purchase order. Additionally, the materials management department is responsible for the material distribution of purchased material to various departments on the university's campus locations.

The Department of Property Management maintains an inventory of all capital equipment (equipment with a unit cost of $2,500 or greater) as well as personal computers that fall below the capitalization threshold. Each month the department reviews ledger activity for asset purchases. It assigns an asset number to each item; obtains the relevant property data such as serial number, description, and location; and enters the asset into Fixed Assets, a subsystem in TAMS. This office also produces identification decals which are sent to departments to affix to the equipment for inventory tracking purposes. The department also manages surplus equipment.

Faculty computers are replaced by the SLA dean’s office every four years (see computer policy: http://tulane.edu/liberal-arts/upload/SLAComputerpolicy_000.pdf) and the purchasing procedure is the same – the department buys them from a specified vendor, requests reimbursement by March 31 and is reimbursed on and IT from the dean’s office. For computer purchases under $2,500, departments must buy Apple and Dell products
direct from the Tulane Technology Connection http://tulane.edu/tsweb/TechConnect/ on campus using a Tulane Purchasing Card. (other brands may be purchased through a vendor like CDW that provides discounts for academic clients like Tulane) Even if you intend to purchase other brands, the university requires that the Technology Connection be given an opportunity to evaluate your requirements. Technology Connection will ensure that operating systems on university owned computers are compatible with Technology Services' requirements.

Please note that computers, like all equipment purchased by the university, are university property and, for items costing more than $500, an inventory number and sticker will be assigned it. Under most circumstances university property may not be sold, traded or removed by faculty or staff. Obsolete or unwanted computers or other equipment may be re-distributed within the department if needed or of not it should be sent to the Property Management office http://matmgmt.tulane.edu/pm/ for disposal.

**Travel Expenses**

The SLA dean’s office provides a basic travel allowance for all tenure track faculty ($600 for AY 2013-14) that is determined each year and communicated to chairs. A supplement ($400 for AY 2013-14) may also be provided to TT faculty who do not have access to additional sources of travel funding from special departmental accounts, endowments or grants – provided funds are available. These fund totals will be calculated by the dean’s office and transferred directly into each department’s account. When faculty members travel, they may pay costs themselves and then provide the departmental staff member with all their original receipts and boarding passes to be reimbursed up to the total provided. Funds for international faculty travel are allocated by the provost’s office on a competitive basis. http://tulane.edu/provost/faculty-travel.cfm. Travel advances are only allowed for International Travel. The University has now moved to the Concur system for reimbursements. This system can be accessed through Gibson OnLine. Chairs should encourage their faculty to take the faculty tutorial that explains how the system can be easily used.

Cost for travel expenses associated with recruiting for approved positions is reimbursed with an IT to a limited degree. Please see recruiting procedures under **Faculty**.

**Reimbursements from the Dean’s Office**

All reimbursements from the dean’s office (faculty recruiting, computers, Lurcy grants, etc.) are processed with a Transfer of Funds (IT) form with supporting documentation attached. The deadline for submitting recruiting expenses is April 14; the deadline for submitting faculty computer purchase receipts is March 31.

**Grants and Outside Funding Opportunities for SLA Faculty**

SLA policy on submitting grant proposals to external funders: http://tulane.edu/liberal-arts/funding-opportunities.cfm
As of February 2, 2010, all Principal Investigators (PI) are required to submit their grant proposals to the SLA dean's office for review, including proposals to private foundations, corporations, and federal government agencies. It is the responsibility of the dean's office to make sure that proposals coming out of SLA involve consistent treatment of costs and are compliant with SLA and Tulane rules regarding fiscal management and accountability of research awards. The Sponsored Projects Administration (SPA) requires that Principal Investigators (PIs) obtain signatures on the routing form from the SLA department chair and dean for their grant proposal. These signatures indicate review of the proposal and confirmation that the proposal "is consistent with departmental, college or university mission, practices and priorities." These signatures also note that the chair and dean approve "of all commitments described in the proposal including those involving space, equipment, personnel, release time, cost sharing and conflict of interest." All proposals submitted to federal funders must have the SPA routing form. The SLA dean's office will not sign off on routing forms without the proposal. All researchers submitting grant proposals to private foundations and corporations must send the dean’s office a copy of the entire proposal for review. It must be sent at least two days in advance of the due date to allow time to review and sign.

Once a grant has been awarded, the administration of the grant is the responsibility of the principal investigator (P.I.). This includes providing the dean’s office with a copy of the budget and the grant account numbers.

**SLA Policy on Sharing Indirect Costs (IDC)**

Indirect Costs (IDC) (also called Facilities and Administrative (F&A) Costs) are commonly referred to as overhead and consist of such services as operations and maintenance, general administration, department administration, libraries, utilities, and building and equipment depreciation. Indirect costs represent the expenses of doing business that are not readily identified with a particular grant, contract, project function or activity, but are necessary for the general operation of the university and the conduct of activities it performs. The Indirect Cost (IDC) rate for sponsored research and other activities at Tulane University is fixed through a federal negotiation process in which the actual costs to the institution are articulated. The current IDC rates are posted on the Office of Research Administration web site.

Tulane’s policy toward IDC is that 100% of contractually earned IDC recovery on projects owned by the school is recorded in the SLA IDC account. A school owns the project if the investigator is based in that school. Such account is unrestricted and committed to funding school or center operations and any indirect costs allocated to the school. SLA is committed to sharing a portion of IDC with departments and principal investigators. SLA policy on sharing IDC is as follows:

1. 25% of indirect funds on grants award to PIs will be returned to the PI’s home department and placed in a special account.
2. The account will be under the control of the chair of the department, with supervision and approval of its use by the dean of SLA.
3. Of this 25% amount, 1/5 of the amount will be reserved for use by the department, as determined by the chair and with the approval of the dean of SLA.
4. Of this 25% amount, 4/5 of the amount will be available for use by the PI, with approval by the chair and by the dean.
5. Approved uses of the amount available for use by the department include the following items:
   a) Scholarly support for faculty (e.g., travel, hardware and software purchases, miscellaneous expenses)
   b) Administrative support as needed
   c) Teaching or research assistant support (e.g., summer stipends for TAs/RAs).
6. Approved uses of the amount available for use by the PI include the following items:
   a) Scholarly support (e.g., travel, hardware and software purchases, miscellaneous expenses, submission and reprint fees)
   b) Administrative support as needed
   c) Teaching or research assistant support
   d) Course buyouts (at the SLA academic year rate of 12.5% of academic year salary per course)
   e) Summer support
7. No part of the amount available for use by the PI can be used for salary enhancement.

Chairs should also familiarize themselves with the Procedures for Managing Facilities and Administrative Costs under Sponsored Projects involving both an Academic Unit and a University-wide Center: [http://tulane.edu/liberal-arts/upload/F_A_Sharing_Centers.pdf](http://tulane.edu/liberal-arts/upload/F_A_Sharing_Centers.pdf) These procedures should be used when determining how Facilities and Administrative Costs (F&A), or indirect costs, will be shared when a sponsored project involves significant collaboration between a University-wide Center and a School or College of Tulane University.

**Departmental Website**

It is important that the department’s website be maintained and updated regularly and that it comply with the new university CMS standards: [http://tulane.edu/news/webpublishing/index.cfm](http://tulane.edu/news/webpublishing/index.cfm) The chair should periodically monitor the website to verify the information and policies are accurate and current. The department should contact Arielle Pentes at [apentes@tulane.edu](mailto:apentes@tulane.edu) about website redesign and update.

**Student Workers**

Student Workers are hired by departments to assist with a number of office and other staffing needs. They are usually directed and supervised by departmental staff or faculty. Students receiving a work study financial aid award are preferred because 75% of their pay is subsidized by the government as part of their award. Students without a work study award may also be hired if there are no other candidates. Advertising for departmental positions and hiring is done through Workforce Management. [http://tulane.edu/wfmo/student-employment/index.cfm](http://tulane.edu/wfmo/student-employment/index.cfm) Departments are not budgeted for student workers so that line of the budget ledger will show a deficit, which is acceptable in this case. At the end of the year, SLA will cover those costs. Departments may hire student workers as needed after receiving approval from the dean’s office.
Contacts for Budget and Operations Questions:

Shellond Chester  865-5223 (Budgeting, payments from SLA)
Mary Clark       862-8305 (computer purchases, capital expenses)
Kevin Gotham    862-3004 (Grants and contracts)
Carole Haber   865 5225 (Major budget issues, grants signature)
Nicole Westerfield  865 5232 (computer replacement, SLA newsletter material)
Arielle Pentes (Web Management)  862-3044
Anna Charles  314 2802 (Student workers, adjunct, visitors and POP appointments)
Accounting Office  865 5371
Materials Management, Purchasing  865 5211, Receiving  865 5279

P Card issues:
Stephen S. Sovinsky, Program Administrator (504) 862-8000 extension 2675
ssovins@tulane.edu

Staff Supervision

As chair, you are responsible for supervising and evaluating your staff member(s). You will find information on line from WFMO to assist you at:
http://tulane.edu/wfmo/supervisor/index.cfm

The staff handbook that can answer questions about benefits, vacations, time off, etc.

By the end of January, you will need to evaluate your staff member using the online system (https://bpm.tulane.edu). You will have to cascade the information to your department as appropriate. More information is also available on the WFMO website:
http://tulane.edu/wfmo/employee-support/perfmgmt/performance.cfm. Questions regarding the annual performance review process should be directed to Ruth Wilson at rawilson@tulane.edu or 504-247-1711 or Mary Letsch at mletsch@tulane.edu or 504-865-5628.

As you perform your evaluation, be fair and honest. If there is an area for improvement, don’t ignore it but address it directly. It is important that these issues be recorded. If serious problems occur and action needs to be taken in regard to an employee, the record of performance reviews becomes particularly significant. Similarly, if your staff member excels in specific areas, be sure to address them. You will then meet with your staff member to discuss the report. It must be signed and turned in by January 31st. Staff raise recommendations are based on the performance review. Staff members do not receive a merit raise if the score is under 3 or if WFMO has not received an evaluation.

For many staff, the job descriptions are out of date. You may want to review yours and see if it matches the job the individual is doing. You can contact WFMO about rewriting the job description. If, however, the new description takes the individual to a higher pay grade, you will need to explain to the dean’s office the source of these funds.
Staff Related Contacts:
Shellond Chester, 865-5223 (financial issues; hiring)
Carole Haber 865-5225 (staff grievances or problems)
Anna Charles 865-5225 (work study students)

Liaison with Administration

Conduit for Communication and Lines of Authority and Responsibility

The department chair represents his or her constituency of faculty, staff and students to the administration, parents, donors, and the public. It is a key position that connects the actual teaching mission of the University with the administration. Chairs must attend (or send a representative to) monthly Chairs and Directors meetings. These meetings are critical opportunities for the dean to update chairs about current and future initiatives, deadlines and opportunities, and to get direct responses from chairs and faculty.

Faculty and staff should go to the chair with their concerns and chair is responsible for finding solutions if possible or suggest available resources. On a daily basis, knowing whom to call for help is key. Tulane has extensive resources to provide support and guidance that should be utilized when in doubt. Public Safety, Workforce Management, Facilities Services, Health and Safety, Institutional Equity, Student Services, Accounting, Payroll, Property Management, Risk Management, Development and the Registrar’s office might all be on speed dial.

When you have a problem that is not being responded to in a reasonable time frame, it is recommended you work your way up the lines of authority beginning with the SLA dean’s office. Our office is your advocate to the upper administration as you are your faculty’s advocate. Though it may seem appealing to go directly to the upper administration with a problem, this approach is strongly discouraged. Such efforts are usually wasted as the matter just gets referred back to this office. If the dean believes she needs support from the provost’s office, she will certainly seek it. To make an appointment with the dean, contact Tara Hamburg at tara@tulane.edu.

General Counsel’s Office

The chair should contact the dean about questions related to legal liability issues and this office will then communicate with the general counsel’s office. Unprofessional or unsafe behavior of faculty or students including hostile or threatening statements or actions should be reported without delay.

The university provides counseling and therapy services for faculty and staff experiencing stress or emotional difficulties through the Employee Assistance Program, operated by Horizon Health http://tulane.edu/wfmo/employee-support/employee-assistance-program.cfm Chairs should be conscious of unusual behavior that may signal a problem with a colleague or staff member and recommend they look into this assistance as appropriate. All contacts are confidential and the initial counseling and referrals are free.
Public Safety

The Public Safety office urges all members of the campus community to contact them first in case of any emergency including personal injury, fire, theft, or assault. They will immediately dispatch an officer and call the NOPD or NOFD as needed. They will also log the event and send the appropriate reports. Campus police are on duty 24 hours a day and they encourage faculty, students and staff to contact them for any personal safety needs including escort service off campus or just to notify them if a person is working late in a building so they can check in periodically. For additional information see their policies and recommendations: http://tulane.edu/publicsafety

As chair, you will receive a copy any police reports or incidents in your building or area and are responsible for sharing the information with faculty and staff as needed. Contact the SLA dean’s office and the Office of Public Safety for guidance and assistance as needed.

Hurricane Preparedness. As chair, you are responsible for generating a hurricane plan that includes the contact information for all faculty and staff including their email, cell and land-line numbers. You should keep an inventory of all computers, copy machines, and other equipment. This information should be submitted to the Office of Emergency Preparedness and the Office of Materials Management with a copy to Tara Hamburg in the Dean’s office. Further information and necessary forms can be found at: http://tulane.edu/emergency/preparedness/hurricane-planning.cfm Make sure that you communicate to your faculty, especially newcomers, the importance of having a personal hurricane plan in place each hurricane season.