Good Practices for Department Chairs and Program Directors

These overviews are not policy and procedure documents but rather suggestions and "good practices" to help Department Chairs and Program Directors do their best in their roles. Some topics and items adapted and extended from Chu, Wheeler et al, and Northern Illinois University.

We encourage you to discuss these and other topics with your administrative colleagues including your Dean, Associate Provost, and Provost. We will continue to add content as it is donated and/or recommended. Please forward articles and original drafts to the Provost's Office.

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Transitioning from Faculty to Chair/Director Roles

Department Chairs have a wide range of roles and responsibilities, with some roles common across campus and others unique to your College or Department. These roles differ significantly from traditional faculty roles.

Department Advocate – Chairs and Program Directors – along with Deans and Associate Deans – are official advocates for the Department, its faculty, its students, and its academic programs. In this role, Chairs interact and collaborate with faculty, College administrators, other Chairs, University administrators, and external stakeholders.

Faculty Advocate and Evaluator – While advocating for the needs of Department faculty, Chairs must also ensure that faculty fulfill their responsibilities and perform up to expectations. In this role, Chairs are responsible along with individual faculty members for their professional development, and are responsible for evaluating the performance of faculty members.

Academic Program Advocate – Chairs are responsible for the quality, sustainability, and innovativeness of the Department's academic programs. In this role, Chairs ensure that academic programs are regularly evaluated and continuously improved. Chairs work with internal and external advisors to ensure that academic programs meet the needs of the global workplace. Chairs also ensure that their Department carries out its responsibilities for outcomes assessment and other required activities.

Climate Manager – Chairs are responsible for working with faculty to establish a professional and caring environment for its students, fellow faculty members, and employees. In this role, Chairs model appropriate and professional behavior using principles of transparency, openness, objectivity, and positive dialog. Chairs are key to setting expectations for how the Department conducts itself.

Business and Process Manager – Chairs are responsible for leading the academic and business processes of the Department. In this role, they lead Department meetings, manage task forces, and lead the Department through necessary changes. Chairs ensure that ongoing processes such as course scheduling, teaching assignments, and budget development are carried out predictably and with faculty participation.

Other Duties as Assigned – Chairs will be asked by their Dean or Associate Dean to lead College-level task forces, collaborate with other Chairs, serve on committees and task forces, and to represent the College at professional, fund-raising, and social functions. Chairs may also be asked by the University administration to participate on University-wide committees or task forces.

Faculty members transitioning to a Department Chair should consider these and other transition issues as they begin their new responsibilities.

Work Perspective – Faculty members typically work in more isolation than Department Chairs. Chairs need to interact with more individuals and to manage more relationships. Department Chairs are typically more mobile than faculty members and need to determine the best ways to be productive in different work locations.

Communication Style – Faculty members typically focus more effort on developing formal manuscripts and course materials for use by colleagues, students, or professional associations. Department Chairs focus more of effort on developing e-mail messages and memos for internal use by faculty members and administrators. Department Chair communication is typically focused more on accountability, justifications, and proposals. Faculty members are often focused on “professing” the situation from their unique perspective, while Chairs are often focused on persuading others to adopt broader frames of reference.

Budget Perspective – Faculty members often view budgets as constraining and short-term. Department Chairs often view budgets as presenting opportunities for reinvestment and reallocation over the longer term. Faculty members are “consumers” of budgets while Chairs are “stewards” of budgets.

“Continuous Partial Attention” – Faculty members are often able to devote extended effort to specific projects. Department Chairs are usually able to devote only fleeting deep efforts to a range of projects, and need to develop “continuous partial attention” to allow focus while scanning for other issues to address. Chairs must also quickly gain knowledge of a wide range of new and unfamiliar processes to respond to a broader range of needs and deliverables.

Trust Relationships – Chairs often find that they re-evaluate trust relationships as they move from a faculty to a Chair position. Chairs have more control over resources and practices, and will therefore be lobbied by faculty members to adopt certain positions. Chairs may be surprised that their words will be repeated out of context by faculty colleagues, and may need to speak less freely in certain situations than they have in the past.

Potential “Surprises” – Chairing a Department usually involved much more time than you would expect. You will likely need to set aside some of your existing interests to accommodate the demands of being a Chair. You will need to focus much more time on the concerns of others and much less time on your own concerns, and learn to prioritize concerns versus complaints and issues versus agendas. You will need to build support from outside your Department in addition to within your Department. You will need to manage a significant amount of confidential information about students and the faculty members in your own Department.

Advice for Becoming a Successful Chair/Director

As you begin your responsibilities as a Department Chair or Program Director, please take time to assess your skills, experiences, and outlook toward leadership and management. Each Chair or director will perform their jobs differently, as there is no "one size fits all" prescription for academic leaders.

How Do You View Yourself as a Leader?

"The 12 Things Good Bosses Believe"
Robert Sutton, Professor of Management, Stanford University.
Harvard Business Review – May 28, 2010

These practical leadership tips from a well-known management professor are worth evaluating from your own perspective. Do you agree or disagree with these statements, and why? Can you add statements of your own to this list that describe you as a leader?

1. I have a flawed and incomplete understanding of what it feels like to work for me.
2. My success and that of my people depends largely on being the master of obvious and mundane things, not on magical, obscure, or breakthrough ideas or methods.
   Having ambitious and well-defined goals is important, but it is useless to think about them much. My job is to focus on the small wins that enable my people to make a little progress every day.
3. One of the most important, and most difficult, parts of my job is to strike the delicate balance between being too assertive and not assertive enough.
4. My job is to serve as a human shield, to protect my people from external intrusions, distractions, and idiocy of every stripe and to avoid imposing my own idiocy on them as well.
5. I strive to be confident enough to convince people that I am in charge, but humble enough to realize that I am often going to be wrong.
6. I aim to fight as if I am right, and listen as if I am wrong, and to teach my people to do the same thing.
7. One of the best tests of my leadership and my organization is "what happens after people make a mistake?"
8. Innovation is crucial to every team and organization. So my job is to encourage my people to generate and test all kinds of new ideas. But it is also my job to help them kill off all the bad ideas we generate, and most of the good ideas, too.
9. Bad is stronger than good. It is more important to eliminate the negative than to accentuate the positive.
10. How I do things is as important as what I do.

11. Because I wield power over others, I am at great risk of acting like an insensitive jerk and not realizing it.

Situational Assessment Questions

What is your vision for your unit? What would you like your program or Department to become? Are you more interested in sustaining the status quo, adapting and evolving your unit in response to new challenges, or changing the overall direction and orientation of your unit? Ho w can you best articulate this vision in writing for your faculty to read and understand? How can you express your vision in your conversations with faculty and your Dean?

How do you view your unit today? What are its strengths, weaknesses, and opportunities? What resources do you have at your disposal to help you do your job? Which faculty members are your strongest contributors? Which faculty members would be hardest to replace? How are students engaged in the academic life of the unit?

What are the major improvements needed, and how will progress be measured? How do you know which problems need to be addressed? What are the greatest opportunities for rapid improvement? What are some of the measurable indicators that can tell you if your unit is performing better or worse over time?

How can you grow your strengths and correct your weaknesses? Which weaknesses can be fixed by existing strengths and skills? Which strengths and skills can you grow internally, and which must be obtained outside? If you need to reallocate talent, who can you rely on to pick up tasks left behind by those who are focused on new initiatives?

What are the Critical Success Factors or "leading changes?" Which things have to be fixed before other improvements can be made? What are problems that simply "must be fixed" in the short run? Which of these initiatives can be led by faculty members, and which must be led only by you?

What will be your leadership style and "voice?" How comfortable are you with stating your role and the roles of others? How do you convince your faculty that your vision is worth working for? How persistent can you be in working to accomplish your objectives? How consistent can you be in dealing with your faculty? To what extent do you involve your colleagues in planning and project management, or do you plan to do these critical tasks yourself? How will you know when you are attempting to lead your faculty to "a bridge too far?"

What are you willing to risk? What is your personal stake in accomplish your objectives? What are your professional goals for taking on the Chair or director role, and what must you accomplish in order to attain your own goals? To what extent are you willing to risk Department resources or faculty members to accomplish your goals? How will you know the "right" things to do as the situation changes?

Political Considerations

Politics are social and local. A Department consisting of faculty members has many similarities to a family. Sometimes "small" issues become magnified over time is left unresolved. People usually do not forget past "wrongs." Interpersonal relationships and academic debate sometimes intersect. Intra-departmental issues sometimes seem to outweigh institutional issues in the minds of faculty members. Never underestimate the personal nature of political problems.

Political problems need time and attention. Political problems usually do not "go away" if left unattended: they will fester and get worse, one side will "win" and the other side will "lose," or others will step in to solve political problems that the Chair or director has demonstrated they cannot handle.

Politics is about power. A political perspective requires scanning and analysis to determine who holds what power to make which decisions. Some people are willing to bargain away some portion of their power to achieve a certain decision. Others may wish to work in the background to form alliances and gain more power. The Chair or director has only so much political capital to expend on any given issue, and must be aware of the decisions that need to be made, how much power is available, and how much they are willing to risk to advance their desired decision at a moment in time.

Chairs need advocates and allies both within and outside the Department. A Chair or director cannot get everything done on their own. Forming alliances and developing advocates can help the Chair accomplish their goals. Simply knowing that the Chair has the support of the Dean on a particular issue will reduce political risk for a Chair. Knowing that the Chair is "connected" with other Chairs and Administrators across the University adds credibility and power to the Chair's portfolio. Building alliances with other Chairs is important but inevitably involves compromise on everyone's part.

There is a place for top-down decisions. Despite the academy being collegial and bottom-up in nature, there is still a top-down structure that plays a role in decision making. Shared governance implies that decision rights are allocated to different groups based on the needs of the University: the Board of Trustees, the President, the Provost, the Dean, the Chair, the Faculty, and other Administrators. Not all decisions can or should be made by a faculty committee, and not all decisions can or should be mandated by an Administrator. Deciding which decisions require which type of input and agreement is a delicate task.

Political power is not a "fixed pie." Political power is loosely attached to positional authority. Political power usually increases by getting things done rather than by wielding power overtly. Political power usually increases by genuinely respecting everyone, even those with whom you disagree. Helping your faculty develop their own political power and skills will generally increase your own political power over time. Your own political power can be negatively influenced by the reputation of your Department and your Dean across the campus, so it is in your interest to understand power politics at the organizational level as well as the personal level.

Carefully guard and manage your relationship with the Dean. Chairs typically report to Deans. Use your positional authority carefully and do everything possible not to embarrass the Dean or to work at crossed purposes with the Dean. Do not try to “jump rank” and ask the Provost’s Office to resolve an issue that your Dean should address, as this hurts both you and your Dean. Likewise, do not ask or expect the Dean to do the elements of your job that you do not like, especially internal political problems or touch decisions.

Wisdom from a Current Chair

By “Experienced Chair” David Bindschadler, Mathematics & Computer Science

I learned everything I need to know about being a successful Chair on the job, not in kindergarten, but I always was a slow learner. I have summarized what I have learned (and currently remember) into a few points to help new Chairs benefit from my experience. If you follow these simple guidelines, I am sure you will have a successful and rewarding experience as a Department Chair:

1. **Be ready for anything at any time**. As a Chair things that you cannot currently imagine will be dropped in your lap to deal with. If you are ready to deal with anything, then it – whatever **it** is – will not be a surprise. (Notice the simplicity of the logic.)
2. **Make the right decision every time**. Following this principle will really make your life a lot easier. I have seen other Chairs make a wrong decision and suffer for it. You will be asked to make a lot of decisions, often with very little information, but if you can make the right decision all the time what do you need all that information for? I think I can safely say that, with the exception of guideline 1, this is the most important guideline to follow.
3. **Keep everyone happy**. Following guideline 2 will help you accomplish this, but there is more to it than simply making the right decisions. This one is tricky because people are complex. You have to know what makes each individual you deal with happy and you have to make sure that your actions are all legal. But generally faculty and students and staff and administrators have it pretty good here at LTU, so this really should not be too much of a problem. The one exception to the happiness guideline is you. No one really cares if you are happy or not, so do not be concerned with your own happiness, you have too many other things deal with. (See you don’t actually have to be able to do everything.)
4. **Obtain all the needed resources for your Department**. If you remember that your Dean, the Provost, and the Vice President for Finance are all reasonable people (who may read these guidelines), you will realize that no reasonable request will be refused. Since

many of my requests have been refused, the obvious conclusion is that they were not reasonable. I thought they were reasonable, but hey, I am just a Chair. Nobody really cares what a Chair thinks is reasonable. One strategy I personally have tried is to work out at the gym with my Dean and the Provost. This actually does not seem to have any effect on my ability to get resources for the Department, but it sure has made me healthier. It has also cut down on the number of meetings we need.

5. **Play the hand you are dealt**. In the end your role is to get things done with what you have. Lamenting about the imperfections of your current situation is really a waste of time. Note: If you are struck by the apparent contradiction between this guideline and guideline 4, you must have already forgotten guideline 1. If you cannot stay focused for one page, how do you expect to be able to handle this job!! Ambiguity, contradiction, unreasonable demands, and impossible deadlines are all part of the job. Start dealing with it now! You are already behind!!
6. **Deal with the stress**. Life is stressful, so this is nothing new. It will just be raised to an entirely new level. Deal with it, you are an adult. My own approach is the Alfred E. Newman “What, Me Worry?” approach. By the way, the gym membership is only $100 per year. I don’t know if it will help with the stress, but it will improve your health, if you use it wisely. (See 4.)
7. **Do not believe in the 24/7 myth**. There is a misunderstanding about time that seems to permeate human culture at this point in time: There are only 24 hours in a day and only seven days in a week. Do not buy into this myth. The job you have to do takes way more time than that. This myth is particularly limiting and negative. In fact, you may find that the laws of physics are far too restrictive. I have found that taking the perspective that all “laws” are really “guidelines” is a useful perspective. It has freed me to try things I would not have otherwise attempted. But watch out for ‘guidelines,’ as sometimes they become “laws.”
8. **Do the impossible**. If all you had to do was “the possible,” then the job would have been given to a lesser individual. You were selected for this job, because you have talents that your Dean and Provost have identified as important to the success of this university. (I personally can’t figure out what they saw in me, but this is not about me.) Use those talents, learn new skills, get stuff done, and have fun.

Following these eight simple rules should get you approximately 10% of the way to a successful career as a Department Chair. I have only successfully followed 1, 5, 6, and 8, and I have been an exceptional Chair. Finally, probably the most important thing is to remain humble.

Recruiting, Mentoring, and Evaluating Faculty

Re-engaging "Stuck" Faculty Members

What are "stuck" faculty members? Some faculty members may have made significant contributions to the academic life of the Department but have lost their ability to contribute. They may have lost their ability to set new goals for themselves and cannot be counted on to accomplish needed tasks. They are often classified as "under-performers" and so represent a significant source of potential energy for Chairs.

What are some symptoms of "stuck" faculty members? These faculty members often have few visible goals and lack enthusiasm about those goals or about the goals of the Department, College, and University. They are often cautious about involving themselves in new initiatives, and may look to the past for their view of how the Department should work. They sometimes look for "one size fits all" solutions and may not tolerate "shades of gray" in Department operations. They may not engage with colleagues or may be either passive-aggressive or bullying in their approach to conflict resolution.

How can you help define the current situation? Having a candid conversation with the faculty member as part of their Annual Performance Planning session or as a special meeting can help set the stage for needed changes. Ask leading questions to find out where the faculty member believes they are at this point, how they feel they contribute to the Department, and what they feel needs to change to improve their contributions? While "stuck" faculty members may be defensive during such a conversation, they often recognize their lack of contribution.

How can you help define the desired situation? Ask the faculty member what they want to accomplish in the next phase of their career, and how these accomplishments will benefit both themselves and the Department? What could be some "first steps" to moving toward the desired situation? As a Chair or Director, it is important to emphasize your support for the faculty member while focusing on the need for improvement.

What support is needed? What resources are needed to help accomplish the faculty member's new goals? What are they able to do by themselves, and what areas do they need help with? Who do they trust that can be made available as guides and collaborators?

How will progress be monitored? The Chair should emphasize the importance of the situation by documenting measurable objectives for progress over time. Start by asking how we will all know when the situation has changed. Working these objectives into the Annual Performance Plan underscores the significance of the agreement to change. Do not expect that progress will just "happen" twelve months later, but hold periodic update meetings with the faculty member to measure their progress, identify emerging issues, and set further objectives.

Management Skills

Leading Effective Department Meetings

Department meetings help define the Chair's image. The Chair's image and credibility are shaped by how meetings are run and what they accomplish. Regular, productive, and engaging meetings help establish the culture of the Department and demonstrate how Department business should be conducted.

Set comprehensive and coherent agendas. Agendas should be comprehensive and well planned for the time allotted. Agendas should not "forget" prior action items and responsibilities. Agenda items should be timed to ensure that the agenda can be completed and not "hijacked" by extraneous items. Faculty members should volunteer or be assigned to lead certain agenda items, with "homework" required in advance of the meeting. Background information should be provided in advance to ensure that faculty members do not feel they are being "railroaded" into decisions. Meetings are a good forum for recognizing accomplishments, but be careful to not focus on the accomplishments of one or two faculty members at the expense of others.

Consider decision-making processes. Distinguish between which items need to be voted on and which do not require a vote, and clearly identify items needing decisions on the agenda. Facilitate open discussions to be sure that all sides of issues are heard. Record votes taken in the meeting minutes. Establish clear responsibilities, accountability, and due dates in the meeting minutes. Establish task forces and subcommittees to address special or standing projects which are not appropriate to be addressed in a full meeting.

Issue and store meeting minutes. Use a meeting recorder to document thorough meeting minutes. Minutes should include follow-up tasks and due dates. Distribute minutes to all meeting participants, including guests. Consider using a Blackboard organization or Google Docs to store meeting agendas, minutes, and background documents. Review meeting minutes periodically to identify follow-up items needed at upcoming meetings.

Task and Time Management

Prioritize and triage. Maintain a personal list of priority projects and deadlines. Break larger projects down into smaller components so you can work in other projects with conflicting deadlines. Recognize that issues brought to you by others do not always have to be addressed immediately or on the other party's time schedule. Delegate course scheduling to Program Directors, faculty leads, or administrative assistants. Resolve scheduling issues that arise.

Use your staff effectively. Determine which of your responsibilities can be delegated to your administrative assistant or can be significantly supported by them. Use your assistants to conduct background research, prepare analyses of alternative solutions to issues, maintain meeting agendas and follow-up items, and triage student inquiries. Use your program directors to develop course schedules, recruit and interview adjunct faculty members, and handle curriculum issues.

Focus on developing processes. Design processes that can be re-used on semester or annual schedules. Re-usable processes make it easier for faculty members to respond and to update data using the same formats. Processes are also more easily delegated to assistants and program directors.

Manage your calendar carefully. The Chair’s time is an expensive and scarce commodity. Establish a good understanding with your assistant about how you would like your meetings to be scheduled if they have proxy authority for your calendar. Schedule project times and preparation times as well as meeting times. Provide a “cushion” between face-to-face meetings for travel and preparation. Do not schedule more time for a meeting than is needed to solve the problem at hand. Your presence may only be needed for part of a meeting, so determine if you can attend only for the time your input is needed. Use the “all day” Google Calendar meeting option to schedule tasks for completion, follow-up phone calls, and other reminders. Do not accept a meeting invitation unless the purpose of the meeting is clear and that any background materials will be provided to you in advance.

Keep cool and don’t complain. Try never to overtly demonstrate that you are overwhelmed by the myriad of tasks in front of you. Do not complain about how much work your Dean has assigned to you, as your Dean is probably busier than you are.

Maintaining Personal Balance

You are your most important human resource. Chairs, program directors, and other academic administrators are often driven to prove their value. Chairs may find themselves working harder but accomplishing less because they forget how to manage their most important resource: themselves.

What is your ability to sustain connectedness? What expectations about responsiveness can you set for your faculty members and staff? How accessible do you plan to be? Can you maintain a strict “open door” policy in the face of needing to complete large projects? Once you set expectations for responsiveness, departure from those expectations may be viewed by others as failure or snubbing.

What is your long-term capacity for work? How many large and complex projects can you sustain at one time before you lose focus or productivity? How can you schedule larger projects to avoid overloading your calendar? What are the few important issues that require your attention this month, this semester, or this year? How many days can you work constantly before needing a break? What are your personal methods of finding space and relaxing?

How do you model balance to others? Departments may emulate or fight the behavior of a Chair. An easygoing Chair may be liked but not respected. A hard-driving Chair may be respected but faculty may quickly realize that they cannot keep up with demands and workload. A Chair who is seen working 7x24 may be viewed as someone who does not trust his or her faculty to help them accomplish important projects. Chairs should help his or her faculty members become more productive, and faculty members must see the Chair's work pattern as something they can emulate and relate to.

Develop a new network of trusted peers. The transition from faculty member to Chair can be an isolating experience. Chairs hold information, influence, and power that they could not hold as a faculty member. Chairs make decisions about the professional futures of former colleagues. Chairs usually lose access to some of their former trusted colleagues in their new role, and will need to develop a network of trusted administrative peers – both within and outside your college, and both within and outside the University – to provide professional, political, and personal support in their new role.

Plan everything! The Chair deals with a seemingly limitless set of expectations and tasks. Most new requests are not simple and will require research and thoughtful responses. After assessing and triaging incoming tasks, the Chair should carefully consider how much time will be needed to respond to requests, what other requests need to be rescheduled, and how they can pace themselves to work at maximum efficiency. This may often require work outside the office, but a Chair who relies on their personal time to "just keep up" will not be able to sustain that level of work without it affecting their personal and family lives.

Learn to juggle your time and to micro-schedule. You will be interrupted frequently as a Chair to extinguish administrative "fires" in the Department. Reserve some part of your day to address fires. If they do not arise, then you will have more time to catch up on your projects. If they do arise, re-schedule your existing tasks forward. Breaking complex tasks into smaller chunks will give you more flexibility to re-schedule tasks and meet your deadlines. Try whenever possible to plan the next day's events fully before leaving the office so you are aware of whatever flexibility you may have tomorrow. Try blocking out 30 minutes each day to plan forward through the next one to two weeks of your calendar to ensure that you have schedule enough time for your most important tasks.

Use your vacation days. Vacation days are provided by the University because the University recognizes that everyone can become burned out and less effective by constant work. Some Chairs can be rejuvenated by "long weekend" vacations, while others will need to schedule longer vacation periods. Some chairs need to break contact with e-mail while they are away. Plan your vacation times so everyone is aware of your availability and expectations for contact while you are away. If you can't get away, take "nights off" where you agree not to work on University projects. Take a short walk around campus during the day to collect your thoughts, or take a short "virtual vacation" by searching for photos of upcoming or past vacation spots.

Sustaining and Innovating Academic Programs

Promoting Excellence in Teaching

Encourage engagement and presence. Being a successful teacher is much more than simply stating subject matter to a captive audience. Students choose Lawrence Tech because of our academic programs and instructional reputation. Faculty members can help sustain the academic programs in which they have a vested interest (their long-term employment) by engaging students in an active learning environment. Encourage your faculty to interact with students so they can understand why the faculty member is interested in teaching within the discipline and at Lawrence Tech. Encourage your faculty members to focus on critical and complex thinking rather than focusing on facts and concepts. Encourage your faculty members to work with students so they learn as much about learning as they do about the subject matter.

"Theory and Practice" is difficult! Lawrence Tech's motto is "theory and practice" but some faculty members spend far too much time on theory and too little time on applying theory to solve real-world problems. Work with your faculty to help them design engaging experiments and practical exercises that allow students to demonstrate their acquired skills. Students will need to apply theory in the workplace, so practicing that skill at Lawrence Tech will give them a head start and will cause them to value their education.

Encourage originality and diversity. Each faculty member is different and Chairs should value diversity among their faculty members. Encourage each faculty member to clearly establish "who they are" in the classroom and laboratory environment. Faculty members have had to learn how to be a good teacher largely on their own and will likely value your support in working with them to improve their teaching skills. Lawrence Tech has outstanding resources to help faculty members become better teachers: the Center for Teaching and Learning, the Library, and eLearning Services. Familiarize yourselves with these campus services so you can recommend them to your faculty members.

Set expectations for teaching in your department. While faculty members have academic freedom, Chairs can set out expectations for quality teaching environments. Clearly state your expectations for the design of course syllabi, establishment of office hours, expectations for response times for student inquiries and return of assignment, and the use of technology in the classroom. Provide or coordinate professional development activities for your faculty members to ensure that they have the skills and tools to meet your expectations. Recognize faculty members for the teaching accomplishments and improvements.

Plagiarism Issues

Outline provided by Glen Bauer, Associate Dean, College of Arts & Sciences

1. Key sections of the Academic Honor Code
    a. Academic dishonesty offense defined (Section B)
    b. Reporting and adjudication (Section E)
    c. Appeal process (Section F)
2. Responsibility of the instructor
    a. Include an explicit reference to Academic Honor Code on each course syllabus.
    b. Enforce the student pledge requirement for all academic work.
    c. Immediately inform the Department Chair in writing upon discovery of reasonable evidence of an Honor Code violation; provide evidence of suspected plagiarism and copies of relevant documents (syllabus, assignment/exam directions, etc.).
    d. Take no action against the student unless or until directed to do so by the Chair or Dean.
3. Responsibilities of the Chair
    a. Inform the student in writing of the suspected violation and request a written response to the charges by a specific deadline (usually one week from notification).
    b. E-mail to the student's official Lawrence Tech e-mail account is recommended, though other personal emails may also be included to ensure timely receipt of the message.
    c. The registrar may be notified to prevent withdrawal by the student prior to resolution of the charges.
    d. Upon receipt of the student's written response, conduct additional investigation as needed, including an interview with the student (optional, but usually appropriate), additional conversations with the instructor, etc.
    e. Once a final judgment is reached, written notice should be sent to the student with cc: to the instructor, registrar, college Dean, and Dean of students.
    f. If the plagiarism charge is upheld and a permanent grade of F assigned, the message to the student should include a reference to the appeal process described in Section F of the Academic Honor Code; retain a file of all relevant documents.
    g. If the plagiarism charge is overturned due to inconclusive evidence, the Chair may need to assess the student's ability to return to the class vs. withdraw and repeat.

Managing Resources and Budgets

Funding Sources

Proposals associated with new programs or program growth. New academic programs should identify the funding needed to initiate and sustain the program, as well as expected enrollment levels. The Academic Program Review Committee, consisting of faculty and administrative members, has developed a proposal template and provides consulting for Chairs and Program Directors who are designing new program proposals for approval. The Academic Program Planning and Review process includes a section for proposing investments associated with program growths which are intended to be incorporated into the annual budgeting and capital funding processes.

One-time funding. One-time funding supporting short-term investments in academic programs can be proposed during the annual budgeting and capital funding processes.

External grants and contracts. A number of federal agencies and foundations provide support for discipline-specific investments in equipment, laboratories, and instructional improvement projects. Contract opportunities may exist for faculty members and students to conduct applied research projects which could benefit your academic programs. The Research Support Services Committee can provide guidance on potential funding sources and procedures.

Fund raising. Chairs and Deans can collaborate with the Office of University Advancement to develop fund-raising initiatives from donors and alumni to support academic program improvements, scholarships, and other initiatives.

Collaborations and consortia. Opportunities may exist to enter into collaborative agreements with other institutions to share the cost of expensive equipment, software, or services. Laboratory test equipment, for example, may be able to be shared and controlled over the Internet. Student and faculty exchange programs may provide opportunities to experience equipment and services available on other campuses.

Free and low-cost solutions. A wide range of instructional, data, and research resources are available on the Internet. The Center for Teaching and Learning and eLearning Services can provide consulting on a range of free and low-cost solutions to deploy in your classrooms or online.

Budgeting

Budgeting is a formal and inclusive process. Despite some faculty members saying that they are not involved in the budget process, there is a University budget process into which all faculty members have been invited to play a part by the Provost and Vice President for Finance & Administration. It is largely the Chair's responsibility to ensure that faculty are included in budget discussions and that departmental budget issues are raised and discussed with the Dean and with the Office of Finance & Administration during the budgeting process.

The budget is a multi-year process. The annual budget is linked to longer-term processes including strategic planning, enrollment planning, and Academic Program Planning and Review. Operational budgets focus primarily on human resources and other ongoing expenditures. Capital budgets are focus on one-time or longer-term investments and are handled using a different process. Capital budget requests should be associated with strategic planning and APPR elements.

Academic programs are not budgeted equally. Academic programs do not "stand on their own" relative to tuition revenue and expenses. Some programs have higher instructional costs for laboratories, equipment, and supplies. Some programs rely more on lower-cost adjunct faculty to deliver instruction. Unique program costs should be incorporated into program budgets. Chairs should consider the use of course fees to cover some operational costs for laboratories and supplied.

There is a degree of flexibility built into annual budgets. Some annual budget lines are fungible and can be adjusted during the year to meet changing needs. Annual budget requests should be designed to meet as many operational needs as can be defined to minimize the need for budget transfers. You will not be able to achieve your budget objectives if Chairs do not clearly articulate those objectives and advocate for them during the budget process. Advocacy is focused primarily through the Chair's relationship and collaboration with the Dean.

Consult with Finance & Administration on budgeting issues. Finance & Administration is very willing to consult with Chairs on departmental and program budget issues, including preparation of budget and capital proposals. The Purchasing Office can provide assistance in developing competitive bids for equipment and supplies.

Student Recruitment, Advising, and Retention

Academic Advising

Outline provided by Glen Bauer, Associate Dean, College of Arts & Sciences

1. Advising management for majors within the Department/Major
    a. Departmentally assigned advisors vs. student selected
    b. Permanent, transitional, or rotating advisor assignments
    c. Individual vs. shared advising responsibilities
    d. Advising files/records: centrally located vs. maintained by individual advisors; electronic vs. hard copy; Blackboard vs. network shared
2. Advising practice
    a. Use of periodic degree audits to ensure progress, identify potential problems & common pitfalls
    b. Checking/reporting degree eligibility for potential graduates
3. Other
    a. Special advising issues
    b. Use of directed studies or substitute courses
    c. Guest credit and additional credit processes
    d. Other special exceptions or accommodations (e.g., prerequisite waivers)

Handling Complaints and Other Concerns

Outline provided by Glen Bauer, Associate Dean, College of Arts & Sciences

1. General principles
    a. FERPA, Student Code of Conduct, Faculty Handbook (specific faculty responsibilities), sexual harassment policy, conflict resolution process, etc.
    b. Maintaining confidentiality/privacy
    c. Communication, documentation, and investigation best practices
    d. Avenues of appeal
2. Handling complaints
    a. Student complaints about instructors
    b. Faculty complaints about students, or student complaints about student peers
    c. Complaints against non-academic departments or personnel
    d. Grade disputes
3. Other issues
    a. Communication with parents
    b. Counseling referrals

Building a Supportive Department Culture

Consult the online Staff and Administrators Handbook for more information about Lawrence Tech employment policies and procedures at ltu.edu/human_resources/staff_handbook.asp.

Leading Change

Change starts with dissatisfaction. Change requires that people view a new status quo as more beneficial than the existing status quo. In other words, they must recognize that they are dissatisfied with the current situation. Support for some change is relatively easy, such as upgrading laboratory facilities. Support for other change will be more difficult as different parties will view the change from different perspectives. Other changes will be viewed by almost everyone as a negative situation. The Chair must design a change strategy that begins by clearly articulating why the change must be made, what benefits will result from the change, or what risks will be avoided by the change.

The status quo must be "unfrozen." Chairs need to determine where and how to initiate a change. For example, some changes can be piloted by one or more faculty members who are enthusiastic about the change. Other changes must be made quickly to minimize the disruptive aspects of the change.

New processes must be designed and documented. Change almost always affects processes. New processes should be designed before a change is implemented. This minimizes the risks associated with the change and involves all parties in the change process.

Know what your targets are. Chairs should define how they will know then the change has been completed. An incomplete change process will leave some people "doing things the old way," which is always less efficient and unproductive.

Listening Skills

Create an environment where people feel free to talk. The Chair can encourage faculty members to talk by their attention, follow-up questions, body language, office environment. The Chair should inform faculty members of the confidentiality or non-confidentiality of their discussions. In no case should a Chair betray a commitment of confidence unless the situation involves safety or illegal behavior.

Focus on central issues and ideas. The Chair should ask clarifying questions to identify the real issues behind a conversation. Keep an open mind, as a situation described to you may not fit your understanding of "how things are," but the story may be true. Take notes so you can ask follow-up questions after the initial meeting.

Not every issue needs to be solved immediately. There are times when an issue requires additional research and input from other parties. The Chair should never hesitate to tell the faculty member that their problem cannot be solved during the initial meeting. The Chair should, however, make a commitment as to when the problem may be able to be addressed and stick to that commitment.

Focus on next steps. Try to identify if the problem being discussed is real, what the faculty member wants to happen, whether this will solve the problem being discussed, what limiting factors constrain your ability to implement a change, and what alternative approaches may be available to you. Asking clarifying questions can help you make these determinations. Restating what is said by the faculty member can help them clarify their own thinking. Wherever possible, try to ensure some follow-up responsibility on the part of the faculty member.

Positively conclude each meeting. Conclude each listening session with a summary of "what's next and who is responsible for doing what." Always thank the faculty member for speaking with you, even if the discussion is a difficult one.

Dealing with Difficult Colleagues

Be fair and consistent. Chairs should use consistent and fair-minded standards and expectations with all employees, even employees who cause problems. Chairs need to understand the standards and expectations of the College in relation to his or her own expectations. Putting these standards in writing for all to see can help reduce the number of difficult situations.

Don't let difficult situations remain unaddressed. If a Chair becomes aware of a difficult situation, they are compelled to act on it. Difficult situations will always become worse if left unaddressed: the difficult party will believe that their behavior is acceptable, and the victim will believe that the Chair is not concerned about their welfare.

Who is being difficult to whom and about what? Chairs should quickly determine who is being difficult, who the target is, and what the underlying issue is. Bullying is common and is best confronted quickly and objectively. Interpersonal battles are more complex and will require fact-finding with all of the parties involved. The Chair is often the target of difficult behavior and should expect some poor behavior as part of his or her duties.

Be thoughtful and thorough in your responses. Chairs should be cautious of everything they say to all parties during a difficult behavior episode. Chairs should seek the counsel of their trusted administrative colleagues, their Dean, Human Resources, or the Provost's Office when developing a response to a difficult situation. Faculty members can sometimes confuse responding with retaliation, especially if they do not perceive that the Chair is "on their side." Wherever possible, state conclusions in behavioral terms rather than in punitive terms. Chairs should inform the Dean and where appropriate the Provost's Office of significant personnel issues.

A Rational Way of Resolving Conflicts

Here is a model that Chairs can use to help resolve interpersonal conflicts, recommended by Dr. Matt Cole of the Psychology program and adapted from drbalternatives.com/articles/cc2.html

Identify the Problem. Have a discussion to understand both sides of the problem. The goal at this initial stage is to say what you want and to listen to what the other person wants. Define the things that you both agree on, as well as the ideas that have caused the disagreement. It is important to listen actively to what the other is saying, use "I" statements and avoid blame.

Come Up With Several Possible Solutions. This is the brainstorming phase. Drawing on the points that you both agree on and your shared goals, generate a list of as many ideas as you can for solving the problem, regardless of how feasible they might be. Aim toward quantity of ideas rather than quality during this phase, and let creativity be your guide.

Evaluate These Alternative Solutions. Now go through the list of alternative solutions to the problem, one by one. Consider the pros and cons of the remaining solutions until the list is narrowed down to one or two of the best ways of handling the problem. It is important for each person to be honest in this phase. The solutions might not be ideal for either person and may involve compromise.

Decide on the Best Solution. Select the solution that seems mutually acceptable, even if it is not perfect for either party. As long as it seems fair and there is a mutual commitment to work with the decision, the conflict has a chance for resolution.

Implement the Solution. It is important to agree on the details of what each party must do, who is responsible for implementing various parts of the agreement, and what to do in case the agreement starts to break down.

Continue to Evaluate the Solution. Conflict resolutions should be seen as works in progress. Make it a point to ask the other person from time to time how things are going. Something unexpected might have come up or some aspect of the problem may have been overlooked. Your decisions should be seen as open to revision, as long as the revisions are agreed upon mutually.

Conflict Analysis Worksheet

This worksheet can help Chairs analyze the structure of a conflict. Recommended by Dr. Matt Cole of the Psychology program and adapted from Daniel Dana, "Conflict Resolution: Mediation Tools for Everyday Worklife." Circle the number that most accurately reflects the conflict situation. Scoring instructions are below.

Interdependency

- 1 = low (the parties need to interact occasionally to get their jobs done)
- 2 = medium (the parties interact frequently to exchange information or resources)
- 3 = high (the parties interact daily and have a high need for voluntary cooperation to do their job satisfactorily)

Number of Interested Parties

- 1 = two parties
- 3 = three or four parties
- 5 = five or more parties

Constituent Representation

- 1 = none (each party is an individual who is not negotiating on behalf of others)
- 2 = one or two other people are being represented by the individuals who are involved in resolving the conflict
- 3 = several other people constitute an identifiable team or group that is being represented by individuals who are directly involved in negotiations
- 7 = a large disorganized group is being represented

Negotiator Authority

- 1 = absolute (parties are individuals without constituents or they do not need to get prior approval from constituents to make compromises with other parties)
- 3 = high (parties may make compromises with confidence that constituents will agree)
- 5 = low (parties may offer compromises but need to check with constituents for approval)
- 7 = none (parties can only deliver messages from constituents)

Critical Urgency

- 1 = none (the current situation, although not desirable, can continue indefinitely without causing great harm)
- 2 = urgent (a solution must be reached in the next few days)
- 6 = crisis (a solution must be reached immediately, and the next few minutes or hours)

Communication Channels

- 1 = parties can meet face-to-face (same time, same place)

- 3 = parties can meet only by telephone or video conference (same time, different place)
- 5 = parties can only write asynchronous messages (different time, different place)

Scoring

Add the numbers you have circled. Scores can range from 6 to 33. The lower the number, the more likely it is that you can resolve the conflict yourself using mediation methods. The higher the number, the more likely it is that you need to engage a professional mediator. Chairs should consult the Staff and Administrators Handbook ltu.edu/human_resources/staff_handbook.asp for Lawrence Tech's conflict resolution policy.