NORTHERN ARIZONA UNIVERSITY
College of Social and Behavioral Sciences

College Handbook
AY 2021-2022

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Business Operations

SBS Dean's Office: Operational Services & Support

Beginning Spring 2021, administrative staff in the College of Social and Behavioral Sciences will be assigned to specific Departments (~60%-70%) and one of three centralized Operational Teams (~30%-40%) to offer equal support across SBS.

Benefits of Centralization

- Consistency and greater coordination in carrying out large-scale duties for departments and SBS.
- Provide expert-level service for responsibilities integral to departmental functions and provides opportunity for cross training and knowledge of other units.
- Ensures tasks are completed in a timely manner even when turn-over or disruption of administrative support and responsibilities occurs.
- Addresses loss of unit-specific admin staff in a holistic and timelier manner.
- Working in an efficient and effective team may increase job satisfaction, as staff grows expertise.
- Administrative personnel can express their favorite parts of the job, e.g. course scheduling, event planning, etc. which would enable them to focus or lead the tasks they like best.
- Still allows administrative support to be rooted in departments. This has many benefits including maintaining and building relationships with students, faculty, and chair; serving as the go-to person for anything related to departmental tasks; can provide a sense of a "home" for the staff person, just to name a few.

SBS Operational Teams

Large-scale functions of SBS will be approached by "teams" of admin support. These will be assigned based on expertise, talent, and need.

TEAM #1 All SBS Coordination and Prep Work with NAU Service Teams
LEAD: Pat Nelson

Duties include but are not limited to:
Interface with ServiceNow on behalf of departments

- Monitoring process in ServiceNow as requests are worked
- Notifying affected end users of updates or needed actions for tickets

Faculty/staff/student search coordination and support

- Work in conjunction with NAU Service Delivery teams to identify, collect, and provide the necessary information to conduct faculty, staff, and student searches
- Initiating travel for applicant/candidate travel during search periods

Faculty review coordination/FAAR support
Equipment inventory management

- Interface with Dean's Office and ITS to manage computer, printer, and other NAU tagged inventory items
- Assist in updating main inventory sheet for SBS
- Assist end users in requesting new inventory purchases in conjunction with Dean's Office

TEAM #2: All SBS Course Scheduling, Coordination, and Instructional Space Management
LEAD: Blake Miley

Duties include but are not limited to:
Collect and maintain completed course schedules for all academic units

- Coordinate with Chairs and Directors to
- Maintain up-to-date schedules as changes occur

Enter and submit completed course schedules for all units in CourseDog
Interface with the Registrar Schedule of Classes group as necessary

- Work in conjunction with SoC group to clear warnings and errors in Course Dog
- Act as liaison for Chairs and Directors when submitting questions or requests regarding unit builds

Maintain calendars and reservations for SBS Castro and SBS West classrooms

- Coordinates with SBS Dean's office student employees to ensure class schedules are posted on all classrooms
- Assist with room reservations for non-class events
- Work with Building Manager(s) as necessary on cleanliness and operational status of equipment in classrooms

TEAM #3: SBS Event Coordination, Event Marketing, and Scholarship Coordination
LEAD: Cristen Crujido

Duties include but are not limited to:
Assist with event marketing

- Ensure departments' event collateral adheres to established brand standards
- Work with SBS and departments to create and submit event calendar listings to the NAU event calendar, SBS and department Facebook calendars, and local digital/print media calendars (if applicable)
- Coordinate with Team Lead to assist departments with social media event promotion and websites.

Assist with SBS event coordination

- Work with Events Manager on event set-up/tear-down, food/beverage coordination, and signage placement for annual college events to include: Fall Faculty & Staff Meeting, Community Partner Breakfast, SBS Hall of Fame, Holiday Gathering, and Fall/Spring Graduation Receptions

Assist with SBS scholarship management

- Assist departments with scholarship marketing (social media, office flyers, faculty slides) and ensure departments are actively publicizing scholarship opportunities to students
- Ensure departments are adhering to department responsibilities per the scholarship process
- Manage donor thank you messages via *ThankView* platform

1. Tasks, duties, and assignments will still be under the purview of the Chair/Director with large-scale coordination by the Operations Leadership Team so that all areas of need are covered.
2. Personnel evaluations will be done as a collaboration between the Operations Leadership Team and Chair/Director and/or Deans.
3. Personnel issues will be solved with a collaborative approach between the Operations Leadership Team and Chair/Director and/or Deans.
4. Some will likely be assigned more than one area as their "go-to" administrative support.

SBS Departmental Support

Department-specific functions will be handled by the administrative support assigned to that area (as appropriate or needed).

Duties include, but are not limited to:

1. Work with SBS Operation and Financial Teams to assist Department Chair with fiscal transactions.
2. Work with SBS Operation Teams to file e-pars for employees.
3. Work with SBS Operation Teams to recruit and hire student workers.
4. Keep printers/copier in working order and manage departmental poster printing.
5. Syllabi collection and distribution.
6. Maintenance of departmental documents on NAUShares.
7. Regular communication with Chair and Department Leadership.
8. Routing Student Petitions.
9. Keep unit calendar up-to-date with activities, meetings, and events.
10. Participate, plan and prepare for departmental meetings and takes minutes.
11. Collaborate with Dean's office to identify needs for keys in each area and ensure keys are checked out as needed and distributed to appropriate faculty and graduate students.
12. Coordinating with Dean's office and Property Surplus as needed to remove old furniture and office items.
13. Unlocking faculty office doors as needed when janitorial staff are unavailable.
14. Reporting safety and cleaning issues as they arise to the Manager of Operations.

Other departmental support will be handled by an increase in **student employee resources** to maintain a presence in the offices and (where appropriate and depending on ability of student):

1. Maintain presence in main academic office.
2. Assist students with departmental interactions as appropriate and needed.
3. Reporting safety and cleaning issues as they arise to the Manager of Operations.
4. Maintain cleanliness of administrative office and public spaces.
5. Sort incoming mail and put it in appropriate professors' mailboxes.
6. Coordinate with Mail Services when any issues arise.
7. Prepare outgoing mail letters, boxes, and packages.
8. Alert other program staff to mail receipt or issues.
9. Other tasks assigned by the Chair or Administrative Personnel in the area.

SBS Dean's Office Support

The staff and Student Employees in the Dean's office are responsible for the items listed below and offer the following general services:

- Maintain presence in main academic office.
- Assist students with departmental interactions as appropriate and needed.
- Reporting safety and cleaning issues as they arise to the Manager of Operations.
- Assist with (non-class) room scheduling as necessary.
- Maintain cleanliness of administrative office and public spaces.
- Assists with opening and closing SBS buildings and other general building management tasks as needed
- Sort incoming mail and put it in appropriate professors' mailboxes.
- Coordinate with Mail Services when any issues arise.
- Prepare outgoing mail letters, boxes, and packages.
- Alert other program staff to mail receipt or issues.

- Refer requests for computer assistance to IT Solution Center.
- Maintain copy machines by assisting with paper jams, filling machines with paper, changing toner cartridges and adding staples to the machines as needed. Restock paper supply in the copy room.
- Process requests to have posters printed on a large format poster printer.
- Review and stamp flyers to be posted on designated bulletin boards maintained by the Dean's Office and maintain said boards.
- Review and process requests to post slides on digital signboards in SBS buildings.
- Sign out keys for the SBS building and maintain logs and security of keys.
- Assist with maintenance of the lost and found area for the building.
- Assist with functions related to the NAU Foundation/Development area of the college.
- Assist with functions related to the NAU Summer Seminar Series.
- Assist with other projects as needed that may be assigned by the Dean, Associate Deans, Assistant to the Dean, Manager of Operations, Development Director, Fiscal Operations Manager, or Administrative Director.

Questions, comments, and requests can be directed to SBS.Dean@nau.edu or (928) 523-2672.

SBS Dean's Office: Financial Services & Support

Financial Transactions/Purchasing/Travel
The College of Social and Behavioral Sciences runs all financial, travel, and other purchasing related transactional requests through the NAU Centralized Financial Service Team. This team can assist you should you have need for any of the following transactional items:

- Pre and post travel assistance, including booking of accommodations and travel mechanisms (pre-trip) or reimbursement of expenses while on travel (post-trip)
- Purchase requests of any kind, including those funded by professional development allocations, course fees, indirect cost recovery monies, or department-specific allocations
- Computers and related peripherals
- Other general materials and supplies purchased through Amazon or Staples
- Requisitions, check reimbursements, and expense reports
- Transfers of payroll and non-personnel expenses via journal entry
- Catering expenses for events
- Advertising expenses for hiring searches
- Paying guest speakers and lecturers

Every individual in the college, including staff, faculty, and students, have the ability to request these services via the Centralized Services Team ticketing system (see link below). As a member of a Service Recipient College, there are a few ways SBS faculty and staff can access these services:

- Employee Service Center
- Phone: 928–523–7782 (SRVC)
- Service Delivery Website

Administrative staff for each department also has the ability to put in finance-related requests on behalf of other faculty or staff in their area. You can request assistance from your local departmental representative in addition to the resources listed above.

Financial Management/Budgeting/Reporting
Although transactional activities have been moved to the NAU Centralized Services Team model, departments still have autonomy and responsibility for creating, monitoring, and managing internal budgets. This is done in conjunction with the remaining financial representatives at the college level and at the Provost/Budget Office.
For all requests related to budget reports, account management, tracking of grants, startup funds, or other related fiscal information, please contact the Assistant Director of Financial Oversight for the college, James Schlittenhart at James.DS@nau.edu or (928) 523-2231. If you are in the School of Communication, please also direct these requests to Financial Oversight Analyst, Senior Connie Raney at Connie.Raney@nau.edu or (928) 523-3090. Both James and Connie can also assist with any financial aspects of HR-related questions, but for hiring, benefits, or other HR-specific questions, please contact Pat Nelson at Pat.Nelson@nau.edu, or see the "Personnel and Human Resources" section of this handbook.

Graduate Assistant Support
For all requests related to Graduate Assistant budgets, hiring practices, financial allocations, or other general GA-related logistical assistance, please contact Financial Oversight Analyst, Senior Kara Stone at Kara.Stone@nau.edu or (928) 523-0605.

Emergency Purchasing Support
In the event that an immediate purchase is necessary and cannot be placed through the normal Centralized Services Team mechanism, please contact James, Connie, or Kara directly, and it may be possible to make the purchase in-house using a corporate credit card. These requests should be the exception and not the norm, but it is understood that these needs do arise.

Onboarding

Supervisors and unit leaders (Chairs, Directors, SBS Operational Team Leads) will orient staff to the unit and provide additional training via HR. Chairs, Directors, and Team Leads can access the New Employee Orientation Guide for Supervisors for details.

SUPERVISORS, PLEASE NOTE: It takes 5-7 days from the time the ePar is initiated in PeopleSoft for the electronic file to be transmitted to the third-party vendor (EverFi) to engage in trainings required by Equity and Access. If an employee begins before those 7 days occur, they may be limited to what they can access in their training.

Onboarding Expectations and Training: EMPLOYEE
By the end of the first week new employees should have completed the following trainings (required within 30 days of hire):

- New Employee Welcome
- Harassment and Discrimination Prevention and Accommodating Disabilities
- Information Securities Essentials
- CERT (Conduct, Ethics, Reporting and Transparency) Disclosure
- Loss Prevention training
- Enterprise Reporting training (virtual with member of Tier II team in ITS).

In addition to the above formal trainings, employees should also:

- Review your department website.
- Review the SBS website.
- Learn faculty names and locations of their offices.

- Walk SBS Castro and SBS West as well as Communication and Student and Academic Services (if applicable for COM and PSY) and familiarize yourself with both buildings.
- Learn where all unit departmental offices are located.
- Familiarize yourself with the printer, copier, and mail room.
- Self-Initiate ePass Security Roles with the following rationale:
    - "I am a new Administrative Services Assistant in the Department of **[insert department name]** and these are required by my supervisor as part of my role." **AND** "I am the Course Scheduler for **[department/unit]** and am required to create permission numbers for students who are enrolling in **[unit prefix]** courses that have department consent requirements."

  For the following roles:
    - NAU_AI SOC Department Creator (schedule courses)
    - NAU_FA FWS Hirer
    - NAU_HR TALX Dept Manager
    - NAU_HR Req Manage Applications (print employment applications)
    - NAU_SR Grade Roster Viewer
    - NAU_SR Stdnt Records Viewer
- Learn to approve timesheets for student workers. Ask Dean's office for assistance.

Onboarding Expectations and Training: DEAN'S OFFICE AND BUILDING MANAGER

- Issuance of building and office keys.
- Provide access to SBS and Departmental Share Drives (via ITS). ITS will provide instructions via email/ServiceNow ticketing system once access is granted.
- Safety precautions, fire safety equipment and procedures, first aid facilities, and security measures.
- Review university property policies: Desks, file cabinets, lockers, computers, vehicles and their contents belong to the university, and at all times and is subject to routine inspection.

Onboarding Expectations and Training: SBS OPERATIONAL TEAM 1 LEAD

- Ensure that employee has filled out all appropriate payroll forms.
- Overtime and compensatory time rules and conditions - discuss exempt vs. non-exempt status.
    - In accordance with the federal Fair Labor Standards Act, overtime will be determined for non-exempt employees at one and one-half times the overtime hours worked. Overtime will be compensated either with monies or compensatory time off at the discretion of the University.)
- Reporting procedures for industrial injury/illness and vehicle/property damage.
- Requirement of valid AZ driver's license prior to the use of state vehicle; need to report a change in license status.
- Travel policies and procedures (if applicable).
- University commitment to Equal Employment Opportunity/Affirmative Action and the expectation and requirement for employee's cooperation and assistance.
- Communicate procedures for obtaining an NAU identification card.
- Discuss university methods of communication and appropriate use of e-mail, voice mail, inter-campus mail, web sites, etc. (Transfer employees should be reminded to update campus address.)
- Discuss issues of internal controls for employee's position.
- Provide information about services available to employees: Affirmative Action, Employee Assistance and Wellness, Faculty Development, Human Resources, Recreation Center, Cline Library, etc.

- Provide employee with other resources that may be helpful: campus map, phone lists, NAU and/or department organizational chart, etc.
- Ensure that the employee is aware that the Human Resources Policy Manual is available online, and that they have access to it.
- Point out the NAU Policy Library web page for other policy guidance.
- Review the probationary status of Classified Staff employees.

Onboarding Expectations and Training: SBS OPERATIONAL TEAM 2 LEAD

- All systems and policies related to course scheduling and schedule of classes including, but not limited to:
    - CourseDog
    - LOUIE
    - Enterprise Reporting
    - Familiarization of deadlines and policies on Registrar's website.
    - Familiarization and knowledge of Associate Registrar's Course Scheduling Team for SBS.

Onboarding Expectations and Training: SBS OPERATIONAL TEAM 3 LEAD

- Overview of PPT templates
- Overview of Events Calendar
- NAU Branding Guidelines
- eForm Training (Scholarships)

Onboarding Expectations and Training: CHAIRS AND DIRECTORS

- Establish time for employee to participate in the required NAU training (listed above).
- Purpose of position and the relationship to the university's mission.
- Supervisor's expectations regarding work and how progress will be determined.
    - Provide copy of performance appraisal form with completed functions and standards for employee's position.
- Guidelines for reporting absences to supervisor.
- Work schedule, break periods, and vacation scheduling (copy Team 1 Lead)
- Proper communication when leaving the work area.
- Information and guidelines concerning parking, telephone use, ordering of supplies, dress code, smoking, etc.
- Location of exits, restroom, lunch facilities and bulletin boards.
- Other departments with which the employee must work and the main functions of those departments.
- Discuss issues of confidentiality and security of information, importance of secure passwords, and FERPA training (as needed).
- Units should also provide faculty handbook and graduate handbook so they can familiarize themselves with the jobs of those they will be supporting and learn more about the unit.
- Approve ePass Security Roles. This may require listing the specific duties that correspond to each of these roles. For descriptions of each role, the LOUIE Security Reference Sheet is located on the ePass website. The following are common roles requested:
    - NAU_AI SOC Department Creator (schedule courses)
    - NAU_FA FWS Hirer
    - NAU_HR TALX Dept Manager
    - NAU_HR Req Manage Applications (print employment applications)
    - NAU_SR Grade Roster Viewer

- NAU_SR Stdnt Records Viewer
- NAU_AI SOC Permission Maint
- NAU_SR Enrollment User

Faculty and Staff Expectations

Job duties and expectations are outlined in each position's job description and/or position profile. SBS values collegial, respectful, and professional interactions among all its employees. Common and typical professionalism standards are expected for every person in SBS including, but not limited to, appropriate communication, appearance, and interactions with fellow colleagues.

Standard business and office skills are expected of all staff members in SBS. These normally include, but are not limited to:

- Staff IT Resources
- Microsoft Suite Software: Outlook, Excel, PowerPoint, etc.
- Utilizing NAU Shared drives
- LOUIE/PeopleSoft
- Enterprise Reporting: Pulling reports and using ITS staff for assistance
- Meeting notes and minutes
- OnBase and Service Now ticketing systems
- Zoom & Zoom Webinar: Setting up meetings, Meeting IDs, Registration, etc.
- NAU Directory: Navigation & Training
- Other
    - Copy Machine: Scanning, scanning/emailing, booklets, and basic trouble shooting
    - Office Shredding
    - NAU Printing Services: Order letterhead, envelopes, and business cards

ePASS security roles for unit admin's:
NAU_AI SOC Department Creator (schedule courses)
NAU_FA FWS Hirer
NAU_GL Dept Journal Creator
NAU_HR TALX Dept Manager
NAU_HR Req Manage Applications (print employment applications)
NAU_HR ePAR Initiator
NAU_PO PCard Approver
NAU_PO PCard Requester
NAU_TE Travel Proxy Traveler
NAU_AI SOC Permission Maint
NAU_SR Enrollment User *only for units that want administrative support to drop/add students at the unit level*

Personnel and Human Resources

Faculty Searches – Staffing Planning
During Fall semester the provost calls for staffing planning, units compile a list for faculty replacements. Replacements (vacancies) could be due to resignations, retirements, non-renewals, sabbatical/FMLA replacements, administrative assignments, or enrollment growth. Chairs/directors work closely with the dean, fiscal operations manager, administrative director and the budget office to plan for faculty recruitment. Upon approval to proceed, the college will

launce several faculty searches adhering to a rigorous hiring process found in Conditions of Faculty Service (COFS), NAU's Equity and Access Office (EAO), Human Resources (HR), the Provost's Office, and the Arizona Board of Regents (ABOR).

The Faculty Hiring Process was developed and is managed by the Equity and Access Office (EAO). The goal is to ensure equitable and inclusive hiring practices that embrace both gender and ethnic diversity and to adhere to guidelines regarding necessary steps to meet affirmative action and equal opportunity obligations. Please refer to the faculty search guide, as developed by EAO

Screening committees work closely with chairs/directors and dean to be aware of and comply with expectations. Chairs/directors work directly with the dean and administrative director (AD) to complete each step and obtain proper authorization at key intervals. The AD is responsible for coordinating the search components and with the dean communicates information to the provost's office and EAO.

Protocol for Tenure Track Searches

SBS has adopted the following protocol for tenure track searches effective AY 18-19. All other subsequent and/or superseding NAU policies will be followed:

- chair/director leads discussion with faculty in unit in advance of committee formation—goal for TT hire, best practices, development of position announcement.
- chair/director, in consultation with dean, appoints a tenure track faculty member from outside the unit to the committee. This may or may not be the diversity champion that must also be appointed to the committee per current NAU policy. Diversity champions may be NAU staff or a community member as is fitting with the search.
- chair/director ensures that there are no conflicts of interest among committee members. If the chair has concerns in this regard they will communicate with the individual(s) and makes the determination of eligibility to serve on the search committee.
- Tenure track search committees should have a majority of members with tenure track appointments. Tenure track search committees must be chaired by a tenure track faculty member.
- Committee in consultation with chair/director develops plan for proactive recruitment of highly qualified, diverse candidates.
- chair/director communicates with potential internal candidates to shape realistic expectations and understanding of potential outcomes.
- dean/Associate dean and chair/director meets with committee—discussion of screening, recruitment, equitable consideration of all candidates (external & internal).
- Committee drafts position posting & screening tools: specification of minimum and preferred qualifications, matrix to include indicators to be used for rating of preferred qualifications.
- Committee will consider candidates that may not have a matrix score exceeding any threshold used for identification of semifinalists or finalists—members propose other candidates for careful consideration. The intent of guidance is to ensure that we are not neglecting strongly qualified candidates that, if included, would create larger pools as fitting for each stage of the search.
- chair/director and committee provide guidance to unit faculty about recruitment and engagement with finalists, including best practices for attracting diverse candidates and guidance about what questions/topics are permissible in the course of an interview.

Additional Resources:
SBS Faculty Hiring Process step-by-step instructions
EAO Search and hiring process
Conditions of Faculty Service, Appendix C (outlines the faculty hiring process)

Each faculty member serving on a search committee is required annually to complete search training offered by EAO, and each member responsible for enrolling.

Chair and Academic Unit Director Appointments
The procedures listed below guide the appointment or re-appointment of department chairs or academic unit directors in SBS. The procedures include both steps units are to undertake and the points that involve the dean and/or the provost.

Step 1: Early in the fall semester of the last year of a chair or academic unit director's term, the outgoing chair/director initiates discussion with the dean concerning the appointment of the unit leader and explores the parameters (e.g. internal v. external; time line) of the search.

- The dean, in consultation with the provost, informs the chair/director as to the parameters of the search.
    - If an external search is to be undertaken, the university policies and procedures governing searches are followed.
    - If the appointment will be made from within the unit or the NAU community, the following steps are taken.
- The current chair/director is eligible to apply for possible re-appointment. If the current chair is interested in standing for another term of appointment, the dean will inform the unit and seek affirmation of support through a vote or an appropriate committee per unit practices (e.g., FSC).
- The normal period of an appointment is three years, though this may be negotiable.

Step 2: The dean meets with the unit faculty to discuss the challenges and opportunities the unit is likely to face during the incoming chair/director's tenure and the qualities candidates should have to provide leadership during her/his tenure.

- If the next chair/director will come from within the academic unit/University, the dean delegates the coordination of the unit's recommendation process to the relevant committee (e.g., a leadership or policy committee or a specially constituted committee representative of the unit that includes continuing faculty on tenured and non-tenured lines).
- The committee facilitating the selection process chooses a committee chair, who reports to both the dean and the unit faculty concerning the selection process.

Step 3: Informed by dialogue among faculty in the unit and discussion with the dean, the selection committee creates a written position description specifying minimum and preferred qualifications.

- Faculty on renewable/continuing contracts on tenure eligible, lecturer, professor of practice or clinical professor appointments are eligible to serve as chair/director. Qualifications specified in the position description may establish preferences in relation to rank, experience and tenure status. A unit may propose to open applications to faculty appointed in other units of the university.
- The committee chair submits the description to the dean for review and approval.

Step 4: The appointment committee chair informs the faculty that applications and nominations should be submitted by a specific deadline.

- Normally at least two weeks must be allowed for applications or nominations.
- Applicants should submit a letter of interest and CV. Faculty who have been nominated by others are consulted to make sure that they are willing to serve and, if so, to submit a letter of interest and CV.
- After the deadline, the committee chair reports to the dean the nominees and applicants and conveys application materials.
- If there are no candidates recommended from among faculty in the unit or outside the unit, then it is possible that the dean will recommend someone from outside the academic unit for consideration.

Step 5: The dean evaluates the candidate pool and determines if the selection process will proceed.

- When the candidate pool is approved, the appointment committee organizes a meeting of the unit faculty and staff in which each chair/director candidate gives a brief presentation that explains how s/he will meet the requirements of the position (for example, their ideas on the future of the department, how they would provide leadership during their tenure, and the like).
- The committee may also create opportunity for students to meet candidates and provide feedback. The dean interviews each candidate. The same protocol will be used for each candidate.

Step 6: The appointment committee solicits feedback from faculty, staff and (if relevant) students participating in presentations about each candidate.

- Feedback may be collected through a form asking respondents to reflect on strengths, weaknesses and overall qualification for the post. All faculty on continuing contracts (tenured, tenure track, lecturers, professors of practice, and continuing instructors) are eligible to provide feedback.
- The committee conveys all feedback collected and a written assessment of each candidate's strengths and weaknesses to the dean.

Step 7: The dean reviews the committee's assessment, feedback from faculty and staff and makes a recommendation for the appointment to the provost. The provost, in consultation with the president, must approve the appointment. The dean conveys the decision to the committee and unit.

As stated above, external searches will conform to all reporting and documentation required by the university. For internal searches, the EAO normally collects documentation on this process. The Dean's Office (in collaboration with the unit) should provide them with a copy of the documentation referenced above. Generally, this is in the form of an email with an attachment of the announcement. This is nothing too formal, but does establish a record in case there are questions later.

Associate Chair, Associate Director, and other Administrative Appointments

Associate Chair, Associate Director, and other administrative positions are often filled with a less formal process than the Chair and Director positions. However, there should be a process by which faculty in the department/school are able to nominate themselves or others, and provide feedback and/or recommendations to the Chair/Director. The Associate Chair/Director duties is part of their SOE and take up the category of "Service" or "Administration" or a combination of the two. SOE and workload distribution is under the sole purview of the Chair/Director with approval from the Dean.

Chairs and Directors would normally put a call out to the faculty in the unit to see whom might be interested in the opportunity. If there is only one person interested, and they are qualified, they will likely gather feedback from the faculty before making an offer. This might also involve a short presentation to the faculty by the sole candidate.

If there are multiple people interested, there are a few other ways the decision is made:

1. Some departments have a committee that screens the candidates and makes a recommendation;
2. Some departments ask candidates to make a presentation to the entire faculty, there is a discussion, and a vote/recommendation to the Chair/Director;
3. Some combination of the two.

As with all administrative assignments, this will require the Dean's final approval before making a formal offer. Additionally, EAO normally collects documentation on this process. You can provide them with a copy of the call for nominees that was sent out and who it went to (or documentation stating that it was discussed during a meeting and who was present); a list of who all applied and then a summary of how the finalist(s) were selected. Generally, this is in the form of an email with an attachment of the announcement. This is nothing too formal, but does establish a record in case there are questions later.

ePar Process for Administrative Assignments

Any administrative assignment for faculty that involves summer (extra) months of payment beyond the typical, 9-month contract will need to be part of the annual NOA. This will be done in the following manner:

- Chairs and Directors identify the faculty appointed to these assignments and outline the duties and dedicated FTE amount.
- Dean reviews and approves assignments, ensuring alignment with the Provost Tier structures and protocol.
- Dean generates a memo that outlines the college process for assigning these appointments (see above) and gives details of all assignments, including:
    - Department
    - Name of Faculty Member
    - Number of Months Summer/Extra Pay
    - 4-5 bullets outlining duties in the summer/extra months
- Team 1 lead creates one-page memos to attach to specific ePars before NOA deadlines.

Staff Searches – Workforce Development

Staff searches follow a similar process, but do not need provost or HR approval at each step. Upon approval from the provost unit chair/directors will establish a search committee and conduct and follow the staff search guidelines, specifically the *HireSmart Toolkit!*

Unit leaders communicate with the AD questions regarding the search, salary offer (prior to an official offer to the candidate) and a review of the draft offer letter. If the unit does not have administrative assistance the AD can assist with navigating staff hiring processes.

Advising

Undergraduate
SBS College-wide advisors are responsible for advising SBS majors and minors. These services include, but not limited to: course and degree progression reviews, liberal studies requirements, evaluations, transfer courses, facilitating substitutions, and referrals for other services to support academic progression. Students can reach their advisor through the NAU Advising website.

Graduate
Each college and graduate program at Northern Arizona University has its own advisors who specialize in information about those programs. Contact information for all Graduate Coordinators can be found at the following link: https://nau.edu/graduate-college/advising/

Liberal Studies & Diversity Overview *(subject to change AY 2022-23 per ABOR initiative)*
Liberal Studies Requirements
All Undergraduate students are required to complete a Liberal Studies block. Students may multi-use (double-dip) courses from their Liberal Studies block to meet other areas (Diversity, Major, or Minor) in their degree program. Up to 9 credits of the student's major prefix can be applied to their Liberal Studies. For example: A Psychology major can use up to 9 credits of PSY classes in the Liberal Studies block.

The Liberal Studies block requires a minimum of 35 credits compiled from:

- Math Foundation (MAT FNRQ): 3 credits
- English Foundation (ENG FNRQ): 4 credits
- Lab Science/Science Applied Science (LAB/SAS): 7 credits
- Aesthetic Humanistic Inquiry (AHI): 6 credits
- Cultural Understanding (CU): 6 credits
- Social & Political Worlds (SPW): 6 credits
- Liberal Studies Elective: 3 credits
    - LS Elective is only required if the student has not met the 35 credits in the other listed categories.
    - LS Elective is a course that meets any of the Liberal Studies designations (FNRQ, LAB, SAS, AHI, CU, SPW) that is not previously used in the Liberal Studies area

Diversity Requirements
All Undergraduate students are required to complete the Diversity Requirements. The Diversity Requirements may be fulfilled by multi-using (double-dipping) with another area within the student's degree.
Students are required to take the following Diversity requirements:

- Global Diversity (0-3 credits)
- U.S. Ethnic Diversity (0-3 credits)

The NAU Catalog is the official source of information regarding Liberal Studies and Diversity requirements.

Graduation Requirements
Assisting a student through to graduation is the culminating process for an advisor. Undergraduate students applying for graduation will fill out an online application on LOUIE/PeopleSoft once they have met the degree and major requirements. All NAU students must minimally have met these requirements:

- Total credits: 120

- Transfer Credits: 64, 75, or 90 credits, depending on degree program, can be transferred from a regionally accredited institution
- Upper Division Requirement: 30 credits
- NAU Credits: 30 credits
- NAU Upper Division Requirement: 18 credits
- NAU GPA: 2.0; some majors require a higher GPA

College-wide Scholarship Process

Goals/Objectives
To ensure the scholarship process for the College of Social and Behavioral Sciences is completed in the most efficient manner and streamlined among all units within the college.
Background

The scholarship process is assigned to the Director of Development, SBS Operations Manager and the Scholarship Coordinators in each department. The Director of Development has been assigned responsibilities for stewardship of donors and functions relating to the NAU Foundation and the Office of Scholarships and Financial Aid.
Scholarship Process by Task - Before opening application process

Department's responsibility:

- Review website(s) regarding available scholarships, description of scholarships, and make sure all information is current and accurate. This is your responsibility!
    - Have MOU'S or MOA's changed? Does an amendment exist?
    - Is the scholarship still being offered?
- Is an item type request needed for new scholarships?
- Check amounts listed for payouts and number of awardees on SBS scholarship website.
- Make any necessary department website changes and make sure these changes are also made on the SBS website (send changes to the Operations Manager) and in any of your print collateral (if applicable).
- Review scholarship training materials and "how to" document

Dean's office responsibility:

- Update SBS Scholarship database (Operations Manager)
- Update SBS website(s) regarding available scholarships, description of scholarships
- Inform all departments when students can begin applying
- Ensure all scholarships are listed with assistance from: Chairs/Directors, Scholarship Coordinators & Administrative Associates
- Check funds available/payout balances. Foundation offices provides payouts end of February.
- Update listed payouts on website (if applicable)
- Update application form and review drop-down menu
- Test online application
- COM application form: test drop-down menu, area title "CMF or Journalism" should not be selective – only scholarship names below
- Open application to students in December until end of February
- Advertise scholarships
    - Flyers on all bulletin boards, SBS departments and faculty
    - Social media postings
    - Digital signage

- Bi-weekly student emails highlighting particular scholarships + general scholarship deadline
- Large-scale foam-core signage (place on easels or attach to walls)
  - All entrances of Castro/West
  - First, second and third levels of School of Communication + large-scale posters in glass display cases
  - Psych. department
- Separate flyers for Morey-Vaughn Award and Stalvey Scholarship

Scholarship Process by Task - During application process

Dean's office responsibility (SBS Wide Scholarships):

- Promote SBS scholarships and scholarship deadline bi-weekly
- Contact SBS-wide student applicants if material is missing, e.g. transcript, essay, recommendation letters, etc.
- Contact the Stalvey family to schedule meeting with SBS committee to review applicants prior to closing deadline
- Select SBS General committee
- Send SBS committee members applicant spreadsheet and matrix. Upload applications to Dropbox for review
- Schedule meeting and select winners

Department's responsibility (Department Scholarships)

- Promote your department's scholarships and scholarship deadline
- Identify scholarship committee
- Check if applications are complete (essays, recommendation letters)
  - SBS>SBS_DEV>Scholarships> AY 21-22>Applications or through the excel spreadsheet sent by the Operations Manager after the scholarship deadline closes

Scholarship Process by Task - After closing application process

Department's responsibility:

- One week after the scholarship deadline, your department will receive a color-coded excel spreadsheet containing scholarship applications and all applicant information. Please forward to your department's Scholarship Coordinator.
- Review scholarship application spreadsheet sent by Operations Manager and compare with PDF applications in the shared drive.
- Contact student if material is missing, e.g. transcript, essays, recommendation letters
- Select winners. Make sure full amount is awarded unless otherwise noted by donor! Award student the entire amount, rather than selecting multiple students for one award or scholarship. Donors want to make an impact!
- Form committee to review applications if not already formed
- Provide committee with actual payout amounts (spreadsheet from Mary Kate Wolter, Coordinator, NAU Foundation). Report management page: Income amount shows leftover amount, plus amount in spreadsheet should total up available balance. If you manipulate reports to June, the actual amounts should show up as well. The amounts in e-Form show the actual available balance spendable.
- Select recipients and runners-up
- Complete need form (if scholarship has financial need as a criteria) and send to Office of Financial Aid (Brant.Ziemba@nau.edu) to determine if selected students have completed their FAFSA (Free Application for Federal Student Aid), demonstrative need, or if the students have received another scholarship towards tuition, if our scholarship is

specifically for tuition as well. If the scholarship does not have financial need as a requirement, skip this step.

- Do not contact the scholarship recipients before you have received this confirmation. If the recipient does not demonstrate financial need, based on the information Brant sends you, then another recipient must be selected.
- Send scholarship rejection emails to applicants who did not receive a scholarship BEFORE sending scholarship award letters
- Contact recipient regarding award. Include: award letter, contract (if applicable), and donor thank you template. Templates on shared drive if needed.
- Enter recipients in spreadsheet on the shared drive *AY 21-22 Scholarship Receipients.xls*
- All recipients must complete a thank you letter. If the scholarship has no steward to contact, please save an electronic copy of the award letter on the shared drive.
    - New! Please forward the template to students, ask them to complete, and return prior to the portfolio deadline. Remind them in insert a photo into the document.
- E-Form needs to be completed by June 30 in order to award the scholarship in August for the next academic year.
- Complete portfolio for donor(s). Include: thank you letter/photo from student, a personal note from the Department chair/director (optional), and an SBS brochure (available at Dean's office) in coordination with Operations Manager and Development Director. Enclose a graduate program brochure if the scholarship is for a graduate student and an undergraduate brochure if the scholarship is for an undergraduate student.
    - Prior to sending portfolios, make sure contact information and addresses are correct. Check with Operations Manager and Development Director to ensure there have been no contact information changes before spring break.
        - **Deadline: Send portfolio by April 1**
- Save portfolios on the shared drive:
    - SBS>SBS_DEV>Scholarships> AY 20-21>Applications
- Send email notification to students not receiving an award
- Input scholarship and award winners into the AY 21-22 SBS Scholarships Recipients excel spreadsheet on the shared drive

Graphic Design

Please use NAU's graphic design templates to promote your events and programs and share these templates with representatives from your department's clubs, too. It is important that SBS marketing materials adhere to the established NAU brand.

Templates available at https://nau.edu/marketing/brand-center/toolkit/

The following formats are available in PowerPoint and InDesign:

- Brochures
- Flyers
- Digital Signage
- Postcards
- Posters
- Presentations (only in PPT)

Department Logos: https://nau.edu/marketing/resources/logos/
Photos: High resolution images at https://nau.edu/marketing/resources/photography/

Event Promotion

Please send the Operations Manager your upcoming events to be publicized on the SBS website, SBS social media platforms, digital monitors, and sent to SBS faculty/staff.

Add your event(s) to the NAU event calendar. NAU faculty and staff, as well as community members, access this calendar frequently.

NAU News
Please email all faculty/staff accomplishments to the Associate dean for Research, Faculty Affairs and Graduate Programs

Property Surplus

Furniture Purchasing
NAU provides a desk, two bookshelves, and a filing cabinet to all faculty offices. It is the department's responsibility to approve and purchase additional furniture. With your permission, furniture can be acquired through Property Surplus by the faculty member using the department's speedchart number or can be ordered by the department's administrative associate.

Furniture Removal
At this time, the Dean's office is not storing furniture other than office chairs in excellent condition. Please coordinate furniture or office supply removal with your department's administrative associate. Administrative Associates will submit a request to Property Surplus to retrieve these items and will work with Property Surplus to schedule a pick-up time.
If the items are small (easily carried with one or two hands), please have faculty members bring them to your department office and Property Surplus can pick them up from this location. Do not leave these items in the hallway or on top of tables or trash/recycling receptacles.

If the items are large (desks, tables, large chairs), Property Surplus will retrieve these items from faculty/staff offices. Your administrative associate will need to let Property Surplus into faculty/staff offices.

Course Scheduling

Unit leadership provides completed course schedules to course schedulers.

Course schedulers enter their unit's schedule into CourseDog and coordinate with the Registrar Schedule of Classes team as necessary to eliminate warnings, assist with requests, and answer questions that may arise while entering the course schedule.

Questions, comments, and requests can be directed to Registrar.ScheduleofClasses@nau.edu or unit's assigned Scheduling Facilitator (found here).

Summer and Winter Course Scheduling
The guiding principles developed by NAU for Summer Session are to:

- Provide additional opportunities for students to take coursework
- Provide additional revenue to units and colleges
- Provide additional salary opportunities for faculty

SBS Summer and Winter Session Policies are reviewed annually to ensure they comply with NAU policies. The current policy has been reviewed and approved by the SBS Chairs and Directors, as well as the dean.

Maximum Units Students Can Earn in Summer/Winter

Per Arizona Board of Regents policy, students may take a maximum of 16 units during the summer term and a maximum of 4 units during the winter term. NAU will not grant unit overloads for the summer or winter sessions. Courses offered during the winter and/or summer sessions are accelerated to fit within the limited time periods. The unit maximums have been established to account for these conditions and are consistent with the regular 16-week term limits.

Faculty Summer Teaching Loads

The faculty teaching load may not exceed the following: 1) three units in the summer three-week session; 2) six units in the seven-and-a-half (7.5)-week session; 3) six units in the first five-week session; 4) six units in the second five-week session; or an overall total of 15 units/credits.

Faculty Winter Teaching Loads

Per NAU policy, the faculty teaching load may not exceed one course of three OR four units in the winter session, regardless of the length of the winter session. Any full-time NAU employee who wishes to teach during the winter session must complete the appropriate supplemental pay form, and which must be approved by the dean and the Provost's office. Winter instructional salary supplements a faculty member's annual salary, as all faculty members are on contract throughout the winter semester break.

Instructor Salary Structure for Summer Classes

The College of Social and Behavioral Sciences, in order to provide revenue to academic units and the college for necessary expenses, requires a higher enrollment than the Provost minimum during the summer sessions. This requirement has been approved by the Provost's office, in accordance with the NAU Summer Sessions Management and Policies, which states in part, "The college will retain the flexibility to adjust the proration level as needed with the approval of the Provost's Office, including the ability to guarantee full pay" (see https://in.nau.edu/academic-affairs/Summer-Sessions/).

Full-time faculty: Salary for teaching summer session undergraduate classes (100-499) is based on an enrollment need of 30 for a full-time regular faculty member (based on a 3-credit class, or 90 undergraduate SCH), with exceptions for the junior-level writing course and the capstone course (see note below in item #3). Faculty pay will be adjusted in the standard prorate formula if the enrollment is below this level.

Part-time Faculty: Salary for teaching summer session undergraduate classes (100-499) is based on an enrollment need of 16 for a part-time adjunct faculty member (based on a 3-credit class, or 48 undergraduate SCH), with no exceptions for type of class (no exceptions for the junior-level writing course or the capstone course). Faculty pay will be adjusted in the standard prorate formula if the enrollment is below this level.

Graduate Courses: Salary for teaching summer session graduate classes (500-799 level) is based on an enrollment need of 15 (based on a 3-credit class, or 45 graduate SCH). No distinction will be made between full-time and part-time faculty for the enrollment need. Faculty pay will be adjusted in the standard prorate formula if the enrollment is below this level.

Instructor Salary Structure for Winter Classes

Winter: The SBS levels for winter salary will adhere to the Provost minimum recommendations of 16 students at the undergraduate level and 14 students at the graduate level. These numbers apply regardless of the type of class (i.e., JLW and CAP require a minimum of 16 students for full pay). Internships will be considered fully enrolled at 48 SCH (3 credits x 16 students; undergraduate). These enrollment requirements apply both to full-time regular faculty as well as part-time or adjunct faculty.

Undergraduate Courses

NAU has set the maximum salary at $2,000 per credit hour for all classes, undergraduate and graduate. Thus, for example, the instructor of a fully-enrolled three-credit undergraduate course would make $6,000 ($2,000 x 3). The instructor of a fully-enrolled four-credit undergraduate course would make $8,000 ($2,000 x 4). Instructional pay for less-than-fully-enrolled courses will be pro-rated according to the student enrollment. To receive full pay for a course, a specific number of students must be enrolled in the course by the time and date set by the Provost's office. Typically, this time and date is approximately 10 a.m. on the third day of the three-week summer session and the winter session, and by 10 a.m. on the fifth day of all other sessions. The Provost's office deadlines supersede any other dates in this document.

Faculty will be paid using one of the two following methods based on course enrollment.
Full Pay: The instructor will earn full pay for the course if the enrollment is at, or greater than, the required enrollment level (see item #4 below).

Pro-Rated Pay: If enrollment is below the required enrollment level for full pay, faculty will be paid on a pro-rated basis. The pro-rated basis will be calculated by dividing the number of students enrolled by the number of students needed for full pay and then multiplying the result by the credit value (i.e., 25 students enrolled divided by 30 students needed for full pay, and then multiplied by $6,000 for a 3-credit course—thus 25/30 x $6,000 = $5000).

Low-Enrolled Courses: If the enrollment in an undergraduate class is 10 or fewer, or 6 or fewer in a graduate class, then the unit leader will consult with the dean (or dean's designee) about the need for the class and the class may be canceled.

Note that in some cases, courses have capacity set lower than need for full pay. In these cases, the faculty/instructor is already in an adjusted pro-rated salary situation. For example, if the cap on a 3-credit undergraduate course is set at 15, then the instructor will earn 15/30ths of the potential full pay.

Internships and Other Individualized Study Courses

The academic unit Chair or Director provides preapproval of payment options based on faculty workload needed to supervise summer (or occasionally winter) interns. Normally, other kinds of individualized study courses (such as independent studies xx497, thesis or dissertation xx699 or xx799, individualized research xx689, and so on) are not compensated by salary; exceptions must be approved by the dean or dean's designee. Salary for any such courses (internship or other) is based on Student Credit Hours (SCH) equivalency and not on enrollment. For instance, a 3-credit course with 30 students would result in 90 SCH, and therefore 90 SCH will be considered equivalent to an undergraduate course with 30 students. Enrollment at less than 90 SCH will be pro-rated accordingly.

For variable credit courses (as determined by the course description; not the number of credits required for the particular semester or the degree) faculty will be compensated for SCH up to, but

not above, the need established for full payment. For example, if the need for full payment is 90 SCH, then that is the maximum number of credits on which salary will be based. Pay will not be increased for SCH above the stated need for full pay.

Exceptions to Standard Enrollment Requirements: Junior-Level Writing Courses and Capstone Courses

NAU has historically recommended that Junior-Level Writing Courses be capped at 25. It is reasonable to assume that Capstones might be similarly capped, at least during shorter instructional sessions such as Winter and Summer. The enrollment need for these two courses for summer sessions will be met with 25 students and salary will be prorated from that number. Thus, for instance, a fully-enrolled Junior-Level Writing Course during a summer session will have 25 students and the instructor will earn $6,000.

Faculty Pay for Classes

Faculty can roughly calculate their possible salary for teaching a fully enrolled three- or four-credit course with the following formula:

Undergraduate course salary in summer sessions based on enrollment (based on $2,000 per credit):

Enrollment needed	3 cr. Undergraduate ($200.00 each student) (or $66.67 per credit for variable credit courses)	4 cr. Undergraduate ($266.67 each student) ($66.67 per credit hour)
30	$ 6,000	$ 8,000.00
29	$ 5,800	$ 7,733.33
28	$ 5,600	$ 7,466.66
27	$ 5,400	$ 7,199.99
26	$ 5,200	$ 6,933.32
25	$ 5,000	$ 6,666.65
24	$ 4,800	$ 6,399.98
23	$ 4,600	$ 6,133.31
22	$ 4,400	$ 5,866.64
21	$ 4,200	$ 5,599.97
20	$ 4,000	$ 5,333.30
19	$ 3,800	$ 5,066.63
18	$ 3,600	$ 4,799.93
And so on…	And so on…	And so on…

Undergraduate course salary in summer sessions based on enrollment (based on $2,000 per credit):

Enrollment needed (JLW or Capstone)	3 cr. Undergraduate ($240.00 each student) (or $80 per credit for variable credit courses)	4 cr. Undergraduate ($320.00 each student) ($80 per credit hour)
25	$ 6,000	$ 8,000
24	$ 5,760	$ 7,680
23	$ 5,520	$ 7,360

22	$ 5,280	$ 7,040
21	$ 5,040	$ 6,720
20	$ 4,800	$ 6,400
19	$ 4,560	$ 6,080
18	$ 4,320	$ 5,760
17	$ 4,080	$ 5,440
16	$ 3,840	$ 5,120
15	$ 3,600	$ 4,800
And so on…	And so on…	And so on…

Graduate course salary in summer sessions based on enrollment (based on $2,000 per credit):

Enrollment needed	3 cr. Graduate ($400.00 each student)
15 (45 SCH)	$ 6,000.00
14	$ 5,600.00
13	$ 5,200.00
12	$ 4,800.00
11	$ 4,400.00
10 (30 SCH)	$ 4,000.00
9	$ 3,600.00
8	$ 3,200.00
And so on…	And so on…

Course Cancellation

After consultation between the dean's Office, the department chair, and the instructor, courses with low or border-line enrollment may be canceled. The dean's Office has the final decision-making authority concerning the offering and/or canceling of any Summer or Winter Session course. Barring significant extenuating circumstances, units and faculty members who do not cancel their class by the designated date will have made a commitment to teach the course regardless of class size or salary.

All Flagstaff Mountain summer in-person classes will be reviewed according to the Registrar's review schedule (approximately April 5). Any in-person class with low enrollments must be cancelled by the date set by the Registrar's office (approximately April 10). The enrollment for online classes during the pre-session (3-week classes), 7.5-week, 10-week, and 12-week classes will be reviewed and cancelled by April 25. The enrollment for online classes for the first 5-week session and the second 5-week session will be reviewed and cancelled by May 15. This will allow students time to find another class.

The enrollment of online classes during the winter session will be reviewed by November 20, and low-enrolled classes should be canceled by November 25. These dates may be adjusted earlier if needs warrant (such as the earlier Fall semester end date in 2020).

The dean's Office will keep the Chairs and Directors informed about the enrollment levels in their respective classes; however, enrollment can easily be tracked in Louie or Enterprise Reporting. The Chairs and Directors will share this information with the department instructors. The information and resultant discussions will be used to make informed decisions about maintaining

or canceling a course. The dean's Office will provide the most current and most accurate information to assist the Chairs and Directors and their instructors in making informed decisions.

Lab Assistant Pay (4-credit lab courses only)
With prior approval of the dean, lab assistants hired in four-hour lab courses with full enrollment will be paid $1,000. Students must enroll for the lecture and lab sections in the same semester.

Advancement & Donor Support

The college has a full-time Development Director dedicated to raising major gifts ($25,000+) for SBS. Costs associated with this position are shared by the NAU Foundation. The Development Director oversees the creation and implementation of philanthropic scholarships/awards within SBS units. Foundation accounts are created for each current and endowed scholarship or award and administered by chairs or directors. Gifts from donors are acknowledged by thank you letters or personal visits from the dean or chairs as appropriate. Chairs and directors are highly encouraged to collaborate and strategize with the Development Director to engage, steward and cultivate new and existing donors. The SBS Development Director in coordination with advisory council members and the dean selects SBS Hall of Fame honoree(s) who are inducted each year during Homecoming Weekend.

Buildings & Classrooms

Please report all building issues to the Events Manager, including the following issues: office and classroom heating/cooling, plumbing, bathroom resupply (toilet paper/paper towels), classroom resupply (cleaning wipes).

Please report locked classrooms and exterior doors to the Events Manager and the Dean's office. Contact the Events Manager, Dean's office, or any department administrative associates for immediate classroom or building entry from 8 am- 5 pm.

Please contact NAU PD if you are locked out of a building, or your office, after 5 pm or on weekends.

Classroom Tech Assistance
To request assistance or report an outage, please contact Classroom Support at 928-523-8818 or email Classroom.Support@nau.edu.

To report a non-urgent issue, visit nau.service-now.com.

To make a recommendation about changes to a learning space that could positively impact the NAU community, please contact the Classroom Management Team at Classrooms@nau.edu.

Faculty Affairs

Conditions of Faculty Service (COFS)

This policy implements and supplements Arizona Board of Regents ("ABOR") Policy 6-201, which constitutes conditions of faculty employment at Northern Arizona University. In accordance with ABOR Policy 6-201, the University has set forth additional conditions of faculty service. Every faculty Notice of Appointment incorporates both the ABOR and the NAU faculty service conditions and provides that acceptance of the appointment is recognition that these documents together govern the employment relationship between the faculty member and the University. As mandated by ABOR 6-201, representatives of the Faculty Senate are appropriately involved in revising the NAU Conditions of Faculty Service document as necessary or advisable from time to time.

SBS Workload Policies

These guidelines are intended to establish consistent practices for faculty workload assignments in the College of Social and Behavioral Sciences. There may be some variation among programs and units. Any adjustment of assignment within the three primary areas: teaching and student-related; research and creative activity; and service are determined at unit level, recommended by the chair or director, and approved by the dean. Guidelines are calibrated to typical university workload standards.

Teaching and Student-Related Activities

Tenured and tenure-eligible faculty

Teaching & student-related assignments begin at baseline of 60% (18 course units per AY).
An increase or decrease in a teaching assignment may include, but are not limited to, the following factors:

- Balanced course needs across Fall and Spring (e.g. 2 three-unit courses in Fall balanced with 4 three-unit courses in Spring for a total of 18 units for the AY);
- Course coordination across multiple sections while considering GA or other assistance;
- Significant course re-design efforts aligned with institutional pedagogical initiatives or requests (e.g. hybrid or online models for liberal studies or general education requirements to serve more remote and distance students);
- Large courses;
    - In-person or hybrid sections larger than 130 may be given a 1.5-unit (15%) load assignment.
        - Chair will take into consideration if any assistance provided through GA or reader/grader support may offset the additional load credit.
- Online sections larger than 90 may be given a 1.5-unit (15%) load assignment.
    - Chair will take into consideration if any assistance provided through GA or reader/grader support may offset the additional load credit.
- Independent Studies, Research Courses, and Internship Supervision;
    - Independent Studies do not count towards teaching load, as these are not to serve as "stop-gaps" in the curriculum. These are student-driven projects, intended for undergraduate or graduate students who wish to engage in a specific, faculty-guided and supervised project. The level of engagement is structured, but not meant to hold the same, regular meeting pattern as a standard course.
    - Research Courses may count towards standard teaching load according to the following formula and standards;

        - Each unit for which a student enrolls counts as ~.55% of teaching load. Examples:
            - 6 students enrolled in 3 units = 9.9%, which will round up to 10%
            - 3 students enrolled in 2 units = 3.3%, which will round down to 3%
            - 1 student enrolled in 3 units = 1.65%, which will round down to 1.5%
    - Internship Courses may count towards standard teaching load according to the following formula and standards;
        - Supervision of summer internships will be counted into the following AY SOE.
        - Each unit for which a student enrolls counts as ~.55% of teaching load. Examples:
            - 6 students enrolled in 3 units = 9.9%, which will round up to 10%
            - 3 students enrolled in 2 units = 3.3%, which will round down to 3%
            - 1 student enrolled in 3 units = 1.65%, which will round down to 1.5%
- Tenured faculty demonstrating a lack of engaged research, scholarship, or creative activities that would result in peer-reviewed outcomes with a proven record of impact and creation of new knowledge in the field (publications, creative endeavors, citations, etc.) may be assigned more than 60% teaching and student-related activities;
- Pre-tenure, tenure track faculty demonstrating a lack of engaged research, scholarship, or creative activities that would result in peer-reviewed outcomes with a proven record of impact and creation of new knowledge in the field (publications, creative endeavors, citations, etc.) may be assigned more than 60% teaching and student-related activities. This may also result in an adjustment to their research, scholarship, and creative activity assignment, which may affect their progress towards tenure.

Non-tenure track and non-tenure-eligible faculty

Teaching & student related activities assignment begins at baseline of 80% (24 course units per AY).

An increase or decrease in a teaching assignment may include, but are not limited to, the following factors:

- Course coordination across multiple sections while considering GA or other assistance;
- Significant course re-design efforts aligned with institutional pedagogical initiatives or requests (e.g. hybrid or online models for liberal studies or general education requirements to serve more remote and distance students);
- Large courses;
    - In-person or hybrid sections larger than 130 may be given a 1.5-unit (15%) load assignment.
        - Chair will take into consideration if any assistance provided through GA or reader/grader support may offset the additional load credit.
- Online sections larger than 90 may be given a 1.5-unit (15%) load assignment.
    - Chair will take into consideration if any assistance provided through GA or reader/grader support may offset the additional load credit.
- Research Courses may count towards standard teaching load according to the following formula and standards;
    - Each unit for which a student enrolls counts as ~.55% of teaching load. Examples:
        - 6 students enrolled in 3 units = 9.9%, which will round up to 10%
        - 3 students enrolled in 2 units = 3.3%, which will round down to 3%
        - 1 student enrolled in 3 units = 1.65%, which will round down to 1.5%

- Internship Courses may count towards standard teaching load according to the following formula and standards; Supervision of summer internships will be counted into the following AY SOE.
    - Each unit for which a student enrolls counts as ~.55% of teaching load. Examples:
        - 6 students enrolled in 3 units = 9.9%, which will round up to 10%
        - 3 students enrolled in 2 units = 3.3%, which will round down to 3%
        - 1 student enrolled in 3 units = 1.65%, which will round down to 1.5%

Student Supervision, Mentoring, Advising for Graduate Students

This responsibility is available for all qualified faculty with disciplinary expertise and/or active research agendas, as workload allows. These activities are an important component for faculty in units offering graduate programs. In addition to variation by unit, there may also be differences in the extent of graduate student supervision among faculty within a unit and over time. These criteria are intended to inform calibration of effort in the Statement of Expectations (SOE) to variable levels of engagement with graduate students through formal committee activities. Faculty are required to document committee memberships when developing the SOE and for Annual Review.

To accurately account for faculty work, they will enter all students in FAAR with whom they are working, indicating the following: the student's name and degree program, and the exact work and/or role of faculty on the student committee (chair, member, etc.). This advising work is considered a formal relationship. Co-chairs may be warranted in certain situations if faculty mentors are putting time in excess of the norm, based on departmental practices. All FAAR information will be reviewed and approved by the chair. If a faculty member fails to provide the detailed information required, they will not receive workload credit.

Please note: Mentoring activities do not always conform to academic year time frames and are not always known in advance of establishing assignments of effort. Chairs and directors should adjust assignments accordingly. Accumulation of mentoring activities that cannot be accommodated in a given year's assignments may be addressed by an increase of scholarship time or service activity effort in a subsequent year. Such adjustments should be clearly documented in the SOE. Only currently enrolled students active in dissertation or thesis research will be counted.

- <u>Doctoral student supervision:</u>
    - Chair of doctoral committee (including membership) = 5% up to 10% for two or more.
    - Committee membership on each doctoral committee = 3% up to 10% for three or more.
    - Examination committee membership = 2% up to 4% for two or more.
- <u>Master's student supervision:</u>
    - Chair of master's committee (including membership) = 2% up to 10% for four or more.
    - Committee membership on each master's committee = 2% up to 10% for eight or more.
    - Examination committee membership = .5% up to 5% for eight or more.

Research, Scholarship and Creative Work

Tenured and tenure eligible faculty
Research, Scholarship, & Creative Work assignments begin at a baseline of 20%.*
An increase or decrease in a research, scholarship, and creative work assignments may include, but are not limited to, the following factors:

- Preparation and submission of one substantial proposal for external funding** = up to an additional 10%;
- Multi-year research, scholarship, or creative work on large-scale projects where substantial progress is ongoing = up to an additional 10%;
- Activity that results in a minimum of one peer reviewed or juried outcome per year*** = up to an additional 20%. These outcomes include, but are not limited to:
    - Full length journal article per year;
    - Substantial progress in preparation of a book length manuscript;
    - Combinations of article revision after revise and resubmit;
    - Articles in progress and review;
    - Data collection or other primary scholarly activities in advance of dissemination;
    - Multiple short publications such as book reviews or encyclopedic entries;
    - Curated, commissioned, or invited products, shows, or installations.
- Tenured faculty demonstrating a lack of engaged research, scholarship, or creative activities that would result in peer-reviewed outcomes with a proven record of impact and creation of new knowledge in the field (publications, creative endeavors, citations, etc.) may be assigned less than a 20% research, scholarship, or creative work assignment;
- Pre-tenure, tenure track faculty demonstrating a lack of engaged research, scholarship, or creative activities that would result in peer-reviewed outcomes with a proven record of impact and creation of new knowledge in the field (publications, creative endeavors, citations, etc.) may be assigned less than a 20% research, scholarship, or creative work assignment. This may also result in an adjustment to their research, scholarship, and creative activity assignment, which may affect their progress towards tenure.

Non-tenure track and non-tenure-eligible faculty
There are no institution-wide expectations in the areas of research, scholarship, and creative activities for non-tenure track or non-tenure-eligible faculty. However, these faculty may have some formal assignment to scholarship if their teaching assignment is maintained at 80%. These situations depend on unit/college needs and priorities and may include:

- Preparation and submission of one substantial proposal for external funding** = up to an additional 10% (5% over two AY);
- Multi-year research, scholarship, or creative work on large-scale projects where substantial progress is ongoing = up to an additional 10% (5% over two AY);
- High-impact, peer reviewed or juried outcomes as appropriate for the discipline and calibrated to level of effort over time.

Instructors and other temporary/one-year full-time faculty are not eligible for scholarship assignment.

* These guidelines are subject to adjustment in relation to distinctive nature of activities, such as contributions to collaborations. Elements are intended to be additive. Faculty are responsible to document efforts/contributions and outcomes in their SOE and Annual Review.

** Proposals for external funding vary widely in the degree of effort required, thus should be assessed on a case-by-case basis.

*** Research, scholarly and creative activity outcomes should be assessed in relation to the extent and character of peer review.

University and Professional Service

University and professional service assignments begin at a baseline of 20%.*

Formal service effort includes essential or necessary activities and contributions as determined appropriate by the college. Approved service may occur at any of the following levels:

- Unit: program, department, or school;
- College;
- University;
- Professional or disciplinary organizations; and
- Community engagement benefiting from a faculty member's disciplinary or professional expertise. This work includes:
    - Applied research or other projects for non-profit or other community entities;
    - Supervision of student led community focused projects;
    - Formal pro bono consulting related to disciplinary/professional expertise; and
    - Service on boards or significant contributions to other formal organizations related to expertise or unit/college community activities.

Community activities of a personal nature, such as service on a PTO for a child's school or an activity with one's own church, will not be considered service for the SOE or performance review.

Typical service percentages are based on the following guidelines**:

- Sustained, demonstrated contribution to one unit-level committee/role:
    - 5% or roughly 60 hours per AY.
- Leadership on one committee and/or sustained and demonstrated contribution to two or more committees/roles:
    - 10-15% or roughly 120-180 hours per AY.
- Leadership and demonstrated substantial contribution to two or more major committees/roles
    - 20% or roughly 240 hours per AY.

* Accreditation guidelines may dictate deviations from this norm

** Guidelines subject to adjustment in relation to distinctive nature of activities and needs for the institution.

Administrative Assignments

Departmental administration recognition and stipend levels have been established through the Provost Office beginning with Fall 2020. The following guidelines are in alignment of that work, with supplemental information concerning program coordination efforts within units.

Any adjustments to the percentages listed below take into consideration the following factors*:

- Multiple programs within a unit;
- Complexity of programs, including online and in person programs, mix of graduate and undergraduate degrees, statewide sites, and required Field Experience or other co-curricular component
- Number of additional administrative and staff support;
- Leading curriculum and assessment efforts (including transfer credit evaluation);
- Substantive class schedule planning
- Administrative assignments and special projects needed within a unit, the college, or the university.
- Accreditation standards

Typical service percentages are based on the following guidelines:

- Program Coordinator: Graduate with 20 or more FTE Students = 20% administrative assignment;
- Program Coordinator: Graduate with less than 20 FTE Students = 10-15% administrative assignment;
- Program Coordinator: Undergraduate= 10-20% depending on the nature and complexity of the assignment**.**

For Chair and Director guidelines, units should refer to the Provost's guidelines on effort for tier 1, 2, and 3 programs.

* The percentage of effort for administrative assignments is based on the above percentages and determined in consultation with the unit leader (when applicable) and approved by the dean.

It is important to be thoughtful about the difference between service and administrative work. Broadly, work that belongs in the "Administrative/other" typically involves personnel, navigating internal system-wide and operational processes, overseeing the operations of a lab or center, etc. It also normally comes with some form of stipend or additional months of work beyond the AY calendar. Please reach out to your Chair or the dean's Office with clarification, if needed.

Statement of Expectations (SOE): Requirements, Guidelines, Template

The annual performance of a faculty member is measured within the context of the Statement of Expectation (SOE); therefore, annual assignments must consider approved unit and University criteria for annual review as well as tenure and/or promotion. Workload assignments are described for each faculty member annually in an SOE that is based on the unit's needs, and the faculty member's career trajectory, rank, and goals. The faculty member and chair or academic unit leader discusses these expectations before the end of the academic year, to be effective for the next academic year.

The chair or academic unit makes the final determination of the SOE, which can be adjusted at any point to compensate for unit needs that arise. The guidelines below are aligned with all relevant NAU policy and best practices and procedures as defined by the Provost' Office.

TEMPLATE:
INFORMATION THAT WILL GO IN THE FAAR / *Interfolio* SYSTEM

Teaching, Advisement, and Other Student-Related Responsibilities ___%

REQUIRED INFORMATION
Individually address both Fall 2021 & Spring 2022:
Course load specified in credit hours (e.g. I am teaching three 3-unit courses…)

PLEASE KEEP IN MIND
Our department places a high value on effective teaching. For each standard course or type of individualized instruction listed you are expected to provide your students **a clear, up-to-date, and informative syllabus** that communicates the nature of the course, the methods of evaluation, and your expectations for student performance. For each syllabus, you are expected to include **department-approved learning goals** (undergraduate or graduate) as well as transparent connections between these goals and your methods of evaluation.

Your load in this area may range, technically, from **50-80%**, without external grant funding or any type of administrative, scholarship or other release. Ideally, over the course of an academic year, a faculty member would be contributing to core, and specialized content, smaller and larger format courses. We are striving for more equitability across the department and to have permanent faculty in our core courses. Also, there are differential loads depending on TT (depending on scholarship %), Lecturer, or Instructor status. For some faculty, a course may be assigned to the supervision of undergraduate research. NTT faculty should typically have a teaching load of 80%.

WHAT THE CHAIR AND THE DEAN'S OFFICE NEEDS TO KNOW
With explicit reference to our *Departmental and SBS Workload and Evaluation Documents,* please describe any important qualifications to load considerations in this category. Essentially, need to justify the % assigned to this category. Please provide me specifics about the nature of the individualized work with students to justify a course reassignment for this purpose. Please list the course number, anticipated number of students. Be mindful to keep your workload consistent with the time allotted for that activity (e.g., one course reassignment is about 5 hours per week on average for the year). If courses have not yet been assigned, please list as TBD.

Scholarly and Research-Related Activities ___%

REQUIRED INFORMATION
Your proposed scholarship for the coming academic year reflects your programmatic research in the area(s) of [FILL THIS IN] and will consist of [FILL THIS IN]. Our department values scholarship that is current, programmatic, involves students (where possible) and that it be presented and published in appropriate and professionally approved outlets. You need to be VERY specific in describing your research plans. Please keep in alignment with SBS workload and evaluation documents as well as unit level documents. You ought to calibrate effort to a ranking of highly meritorious given research allocation.

PLEASE KEEP IN MIND
Not counting external grant funding, faculty load for tenure stream faculty in this area will typically range from **0-30%** (40-50% for exceptionally productive faculty, who are seeking external funding and have publication records consistent with a competitive funding application) and/or those in the pre-tenure stages or working on a major research project. Research effort must be justified based on past performance.

WHAT THE CHAIR AND DEAN'S OFFICE NEEDS TO KNOW
Send the 1) areas of research as they relate to our program and 2) a **list of specific research-related projects and/or products** (regional or higher conference, paper, poster; paper; grant proposal; book; conference, experiment plans, film project etc.) and the **stage/phase** of project expected to be completed during the academic year. Please justify what your percentage should be and why. The justification should also include past productivity (if counting books, etc (through last 4 years) as well as medium range goals.

Service ___%

REQUIRED INFORMATION
Individually address service for both Fall 2021 & Spring 2022:

PLEASE KEEP IN MIND
Faculty load in this area should range between 10-20%. A 20% Service Load for the year would be, on average, **8 hours a week** (e.g., the equivalent of a course each semester). For most faculty, service activity should be closer to 10% than 20%. The service obligations of a faculty member may include departmental, college, and university committees, professional organization activities, public and student-related service (e.g., advising a student group). Service that is community service should draw upon expertise and not be of a personal nature. Please align to SBS workload and evaluation documents as well as unit level documents.

It is important to be thoughtful about the difference between service and administrative work. As a general rule of thumb, service normally involves coordination of curricular matters, assessment of programs, student-learning and experiential learning-focused oversight, and work that is dedicated to committees for the unit, college, and university. It typically does not come with a stipend and duties fall within the typical AY calendar. Please reach out to your Chair or the dean's Office with clarification, if needed.

WHAT THE CHAIR AND DEAN'S OFFICE NEEDS TO KNOW
Please provide a list of service and approximate hours per week (if just during one semester, say so. If for whole year, please indicate).

Administrative/Other ___% (if applicable)

REQUIRED INFORMATION
Administrative Title:
What % of time is reassigned for which semester and why.

PLEASE KEEP IN MIND
Administrative reassignment is rare and must be approved.

WHAT THE CHAIR AND DEAN'S OFFICE NEEDS TO KNOW
For ANY reassigned time, please describe work, the % of time, and source of funding (if relevant). List the duties/expectations/products, and who (if different than the departmental CoFS committee) will be evaluating that portion of your SoE.

It is important to be thoughtful about the difference between service and administrative work. Broadly, work that belongs in the "Administrative/other" typically involves personnel, navigating internal system-wide and operational processes, overseeing the operations of a lab or center, etc. It also normally comes with some form of stipend or additional months of work beyond the AY calendar. Please reach out to your Chair or the dean's Office with clarification, if needed.

SBS Tenure and Promotion: Guidelines, Standards, & Process

Please access SBS Tenure, Promotion, and Annual Review Handbook for approved guidelines and the business process.

SBS Annual Review Process & Calendar: Faculty

During the fall semester the provost develops the Personnel Action Calendar that outlines the types or reviews, reviewers and the associated due dates. All dates prior to submission to the Provost serve as a guideline and the dean may approve and communicate alternative due dates within the college for all dates except those required for submission to the Provost and President. Please refer to the SBS Faculty Personnel Action Calendar.

The faculty review process spans fall and spring semesters and is facilitated by the Dean's office. At the beginning of the fall semester the Associate dean and Administrative Director conduct training for members of each review committee.

Reviews are built in FAAR in collaboration with the provost's office. The AD updates FAAR and enters review committees and maintains a list of all full-time faculty and the appropriate review for each. Chairs and directors are responsible for each review committee in meeting annual review due dates.

Staff Affairs

Performance Evaluations

Goals/Objective
Provide the framework to unit leaders in conducting annual staff performance evaluations (PE).

Background
During the last several years, unit leaders largely conducted staff performance evaluations on their own with little feedback from the Dean's office. The NAU-established due date to get PE's to the dean for a signature is too late to accommodate feedback from the dean and/or action steps to strengthen appraisals and performance. Therefore, this document establishes a procedure that ensures appropriate time for feedback at both the supervisor and dean's level.

Review Period
July 1 through June 30, each fiscal year

Due Dates and Process
The chair/director of each department will meet with the dean to discuss staff performance prior to discussion with the employee. The following actions should occur in the order listed:

Timeframe and Process

June 1 – 31 Employee prepares a self-evaluation and forwards to supervisor. Chair/director meets with employee to discuss performance.

July 1 – 31 Chair/director DRAFTs the supervisor evaluation document, informed in part by employee self-evaluation. Chair/director meets with dean or associate dean to discuss evaluations.

August 1 – 31 After dean/associate dean review, chair/director meets with employee to discuss SUPERVISOR's evaluation results. If employee agrees with evaluation, signs the document; if employee does not agree with evaluation, can add additional information or appeal, then signs. After employee signs, supervisor (chair/director or other supervisor) signs and forwards to Administrative Director (AD).

September 1–30 AD forwards evaluations to dean/associate dean for signature, only if dean/associate dean is the third level reviewer (supervisor), for instance:

Employee (Level 1)
Supervisor (chair/director) (Level 2)
dean/associate dean signature required (Level 3) **YES**

Employee (Level 1)
Supervisor (assistant director, etc.) (Level 2)
Department head (chair/director) (Level 3)
dean/associate dean signature required **NO**
In this case the department forwards the original PE's to Human Resources and sends a copy of the fully executed (signed) PE to the dean's Office.

September 30 AD forwards signed copies (per instructions above) to Human Resources, retaining a copy for the dean's personnel files.

Faculty and Staff Expectations

Job duties and expectations are outlined in each position's job description and/or position profile. SBS values collegial, respectful, and professional interactions among all its employees. Common and typical professionalism standards are expected for every person in SBS including, but not limited to: appropriateness in communication, appearance, and interactions with fellow colleagues.

Standard business and office Skills are expected of all staff members in SBS. These normally include, but are not limited to:

- Microsoft Suite Software (Outlook, Excel, PowerPoint, etc.)
- Utilizing NAU Shared drives
- PeopleSoft
- Enterprise Reporting
    - Basic report pulling and using Tier 1 and Tier 2 staff for assistance as needed
- Meeting notes and minutes
- OnBase and Service Now Ticketing systems
- Zoom & Zoom Webinar
    - How to set up a meeting and the difference between a meeting ID and registration link
    - What this is and what Blake needs specifically needs to create a Zoom link for departments who want to use this
- NAU Directory
    - Navigation & Training
- Other
    - Copy Machine
        - Scanning, scanning/emailing, booklets, and basic trouble shooting

- Office Shredding
- NAU Print Shop
    - How to order letterhead, envelopes and business cards

Renewal of Notice of Appointments (Contracts)

During the spring semester the budget office generates the Contract Master report, a listing of every faculty and staff (service professionals) that receive a contract annually. The AD and fiscal operations manager review the report for correct salary, rank, unit and terms. The confirmation of contracts takes several months to complete. Notice of Appointments are generated in May/June.