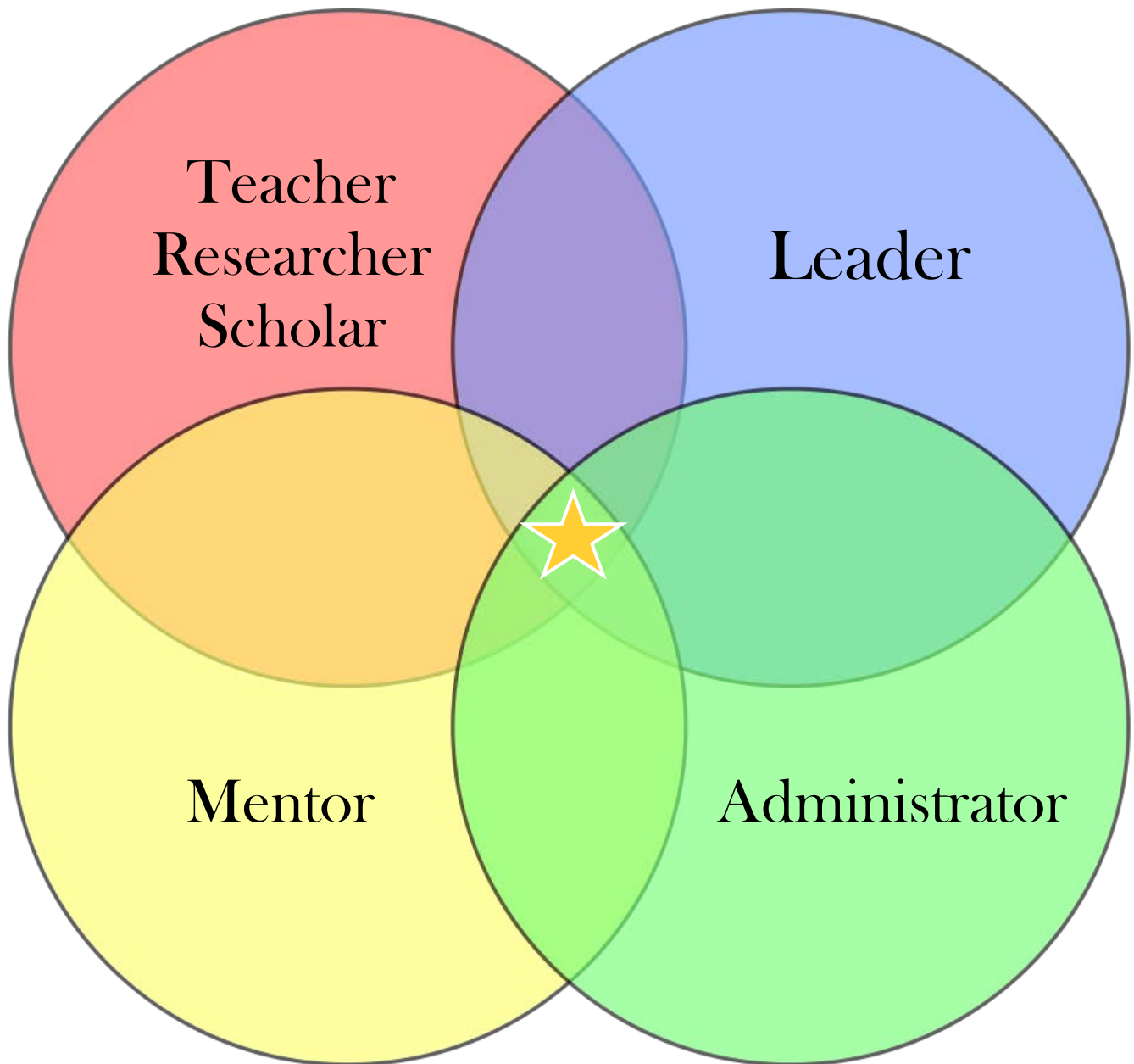New Chairs and Associate Deans Training Workshop
August 23, 2017

427A/427 Waterman
8:00 AM – 12:30 PM

MEETING AGENDA

8:00 AM	Continental Breakfast
8:15 AM	Welcome and Introductions *Jim Vigoreaux, Associate Provost for Faculty Affairs* *David Rosowsky, Provost and Senior Vice-President*
8:30 AM	Overview - Administrative Responsibilities and Resources *Jim Vigoreaux*
9:00 AM	The R&R's of Faculty Development *Jim Vigoreaux*
9:45 AM	Leadership Styles *Jim Vigoreaux*
10:15 AM	Break
10: 30 AM	Primer on UA Contracts and Supervisory Responsibilities *Mary Brodsky, Labor and Employee Relations Manager*
11:00 AM	Legal Issues for Chairs *Lucy Singer, Deputy General Counsel*
11:30 AM	little "c" vs. Big "C" Compliance *Tessa Lucey, Director of Compliance Services*
11:45 AM	Chair's Toolkit Exercise (free write and discussion) *All Participants*
12:15 PM	Advice from a former Chair *Jim Vigoreaux*
12:20 PM	Concluding Remarks
12:30 PM	Adjourn
4:30-6:30 PM	Reception *Aiken Center Solarium 218*

ADMINISTRATOR

- Policies and procedures
- Monitor and supervise
- Manage resources
- Manages team
- Detailed planning
- Short term objectives
- Analytical thinker
- Appeals to the head
- Has subordinates
- Operational
- Builder
- Do things right

LEADER

- Vision and strategy
- Influence and inspire
- Mobilize resources
- Builds team
- Strategic Planning
- Long term goals
- Systemic thinker
- Appeals to the heart
- Has followers
- Transformational
- Architect
- Do the right things

EMOTIONAL INTELLIGENCE

ACHIEVE EXCELLENCE

New Chairs and Associate Deans Training Workshop

August 23, 2017

(1) Responsibilities
As Chair you will
      Lead…
            Supervise…
                  Evaluate…
                        Support…
                              Manage…
                                    Budget…
                                        Mediate…
                                            Strategize…

In my role I should think about:
- Leadership
  - Leadership styles / strategies
  - College/School/Institution Strategic Priorities and Initiatives
  - What is my legacy?
- Departmental vision
  - Where are we as a department
  - Where can/should we go from here
  - What are the top priorities
  - What do we need to do get there
- Effective management strategies
  - Effective supervision and evaluation of staff
  - Effective mentoring and evaluation of faculty
  - Handling contentious circumstances
  - Legal ramifications of what you do/say/write as Chair
  - Seeing the department as a whole and in terms of its constituent parts
  - Seeing the department as part of a greater good
  - Share the responsibilities, share the credit, share the success

- Supervisory duties
  - RPT
  - Schedule of Courses
  - Annual Performance Reviews (faculty and staff)
  - Workloads
  - Recruitments (faculty and staff)
  - Curriculum, Learning Objectives, Assessment
  - Alignment of strategic priorities

Not just one right answer, but do need to think about how you will approach these issues!

(2) Legal Issues

- A lot of what a Chair does has direct legal implication (labor laws, FERPA obligations, etc.)
- Chairs are more likely to be subject to public records requests and/or have documents you've written be used in legal proceedings.

Some key points:

- Familiarize yourself with key legal issues + where to turn for assistance (see p. 3) [Also, very important: Actually contact them if these issues arise!!]
- Be sure the faculty in your department are aware of and follow good practices (e.g., FERPA, human-subject research, active shooter, etc.)
- Do not expect what you write and say to be kept private

(e.g., don't put anything in an email you'd mind having forwarded or printed in the Free Press!)

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(3) Sources of Support

DOCUMENTS TO INFORM YOUR LEADERSHIP

- UVM Academic Excellence Goals: http://www.uvm.edu/provost/
- UVM Scholarly Productivity and Impact Metrics: http://www.uvm.edu/provost/
- Strategic Action Plan: http://www.uvm.edu/president/
- Our Common Ground: http://www.uvm.edu/president/
- Inclusive Excellence at the UVM: http://www.uvm.edu/~presdent/pcie/

DOCUMENTS YOU SHOULD HAVE AT HAND

- University Manual / governance documents / CBA: (www.uvm.edu/~facrsrcs)
- UVM Institutional Policies: http://www.uvm.edu/policies/
- Unit-specific and timely documents: your Dean's office (and website); The Registrar's Office and UVM Portal (Dean/Chair Access tab); Provost website
- Emergency Management (see handout)
  - Active shooter
  - Students of concern
- Institutionally required unit-level documents:
  - RPT Guidelines (tenure-track and non-tenure-track) (14.4)
  - Annual Performance Review Guidelines [FEGs] (14.4)
  - Course equivalency for large enrollment classes (16.18)
  - Recognition for independent study and thesis advising (16.17)
  - Online course protocol (16.15)
  - Professional Development Fund allocation protocol (21.2)
  - Scholarly Productivity and Impact Metrics

<u>Active Shooter</u>

For personalized training or specific questions – contact Police Services Supervisors
(pssuper@list.uvm.edu). They will be able to direct your request and coordinate with their
personnel.

- **Shots fired on campus**
    - https://www.uvm.edu/police/services/video-shots-fired-campus/index.html
- **Active Shooter Pocket Card**
    - https://www.uvm.edu/police/services/active_shooter_pocket_card.pdf
- **Active Shooter: How to respond**
    - https://www.uvm.edu/police/services/active_shooter_brochure.pdf
- **Trainings and Sessions:**
    - Police Services Safety Trainings/Assessments
        - http://www.uvm.edu/~police/safety
    - Managing Disruptive and Distressed Students (CARE)
    - Gatekeeper Training: Campus Connect--Suicide Awareness
    - Mandated Reporter Training (Crime reporting)
- **Campus Security Authority webpage**
    - http://www.uvm.edu/police/csa

- **Helpful Resources:**
    - Students of Concern Website
        - http://www.uvm.edu/~saffairs/studentsofconcern
    - CARE Reporting Form
        - www.uvm.edu/~saffairs
    - Emergency Management website:
        - http://www.uvm.edu/~emergncy/

RECRUITMENT

OUTREACH
Long term effort to build pool through enhanced visibility, partnerships and networking

HIRING
Process, short term pool development, team effort, selection

YIELD
Competitive offer – career promise, partner/family accommodations

TRANSITION

Receiving - Facilitating entry, providing welcoming environment into campus community and institutional culture

RETENTION

PROFESSIONAL DEVELOPMENT
Building skills and fostering excellence in teaching, service, and scholarship – towards *Reappointment*

ADVANCEMENT
Supporting and promoting successful navigation of tenure and promotion policies and processes

SATISFACTION
Addressing sense of belonging; *Recognizing* and *Rewarding* success, and contributing to Institutional identity

RETIREMENT

Planning, supporting and facilitating transition

Endorsing efficiency and productivity

Modified from APLU INCLUDES

Resources and Best Practices for Faculty Recruitment

1. Please review Guidelines for Recruitment of Faculty

http://www.uvm.edu/~facrsrcs/?Page=TT_faculty_recruitment.html&SM=submenu3.html

2. Sources of Demographic Information
   - National Science Foundation
     - http://www.nsf.gov/statistics/srvydoctorates/
   - Association of American Universities Data Exchange
     - http://aaude.org/
   - Department of Education, Institute of Education Sciences (IES)
     - https://nces.ed.gov/programs/digest/2015menu_tables.asp
   - Discipline-specific, professional organization databases

3. Discussion with department/unit members
   a. Review the importance of diversity and inclusiveness in your strategic plan
   b. Diversity Recruitment Plan – how it differs from previous plans, or how is it expected to yield different results. What modifications have you made since the last search?
   c. Accountability and responsibility – what system of checks and balances do we have in place?
   d. What steps have you taken to develop your own awareness, knowledge, skills and competencies around diversity and inclusion?
   e. Review (and revise) the outlets for advertising your positions
   f. Model success stories
   g. Incentivize the process
   h. Always be in Search mode

4. Promote the value of a diverse workforce.
   a. *Notice of NIH Interest in Diversity*
      http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-053.html
   b. *Groups of diverse problem solvers can outperform groups of high-ability problem solvers*
      http://www.pnas.org/content/101/46/16385.full
   c. *NIH addresses the science of diversity*
      http://www.pnas.org/content/112/40/12240.full.pdf
   d. *Scientific diversity interventions*
      http://classic.sciencemag.org/content/343/6171/615.long

The Six Leadership Styles at a Glance

	Coercive	Authoritative	Affiliative	Democratic	Pacesetting	Coaching
The leader's modus operandi	Demands immediate compliance	Mobilizes people toward a vision	Creates harmony and builds emotional bonds	Forges consensus through participation	Sets high standards for performance	Develops people for the future
The style in a phrase	"Do what I tell you"	"Come with me"	"People come first"	"What do you think?"	"Do as I do, know"	"Try this"
Underlying emotional intelligence competencies	Drive to achieve, initiative, self-control	Self-confidence, empathy, change catalyst	Empathy, building relationships, communication	Collaboration, team leadership, communication	Conscientiousness, drive to achieve, initiative	Developing others, empath, self-awareness
When the style works best	In a crisis, to kick start a turnaround, or with problem employees	When changes require a new vision, or when a clear direction is needed	To heal rifts in a team or to motivate people during stressful circumstances	To build buy-in or consensus, or to get input from valuable employees	To get quick results from a highly motivated and competent team	To help an employee improve performance or develop long-term strengths
Overall impact on climate	Negative	Most strongly positive	Positive	Positive	Negative	Positive

Adapted from *Leadership that Gets Results*, by Daniel Goleman
Harvard Business Review

Primer on UA Contracts and Supervisory Responsibilities: What You Need to Know

Mary Brodsky, LER Manager

August 23, 2017

Chairperson Duties and Responsibilities

► Consulting with the faculty regarding the development and implementation of guidelines for faculty assignments and the standards for decisions about changes in faculty status;

► Scheduling courses for and otherwise making assignments to faculty;

► Assessing the effectiveness of Departmental instruction and student advising;

► Making recommendations to the Dean, following consultation with Department faculty as may be required by Department guidelines

► Fostering research and scholarship by Department faculty, and assisting in appropriate administration of the research;

► Mentoring faculty and conducting annual performance review of faculty and reviews relating to changes in faculty status;

► Initiating corrective action relative to faculty performance or conduct;

► Preparing a budget for the unit and managing the budget after its adoption;

► Scheduling meetings to conduct Department business, periodically on his/her own initiative or at the request of any two members of the Department, and otherwise consulting with Department faculty as may be necessary or desirable to the effective administration of the Department

Chairperson Duties and Responsibilities

▶ Being familiar with University, College/School, and Department policies or contract requirements as necessary effectively to carry out the responsibilities of a Chairperson.

Represented Faculty
Full-time Contract (expired as of 6/30/17)
Part-time Contract (in place through 6/30/18)

▶ Article 1 – Recognition
  ▶ United Academics (AAUP-AFT) is the exclusive representative for represented faculty on campus
  ▶ Included in the FT unit are > .75 FTE faculty
  ▶ Excluded from the FT bargaining unit are College of Medicine faculty, Deans, Associate Deans, Assistant Deans, Chairs and some Directors, Visiting Faculty in the first or second year of an initial appointment*
  ▶ Included in the PT unit are < .75 FTE Clinical, Extension, Research and Library faculty, PT emeriti faculty, PT Lecturers**

*List is not all-inclusive

**See Handout for PT BU eligibility

Appointments and Evaluation of Faculty
Article 14 – FT Contract
Articles 14 and 15 – PT Contract

▶ Appointment Terms and Lengths
▶ Annual Evaluations and Timing
  ▶ Used to assess whether merit increase is appropriate
  ▶ Should incorporate input from secondary assignments
  ▶ Forms for PT faculty
▶ Reassignment, Promotion and Tenure
  ▶ Tenure Track/Non-Tenure Track
  ▶ Bridge Funding for Research Faculty
  ▶ Non-Reappointment Notices

Check with Dean's Office for College or Department Specific Guidelines

Effective Feedback

▶ Clear and Concise
▶ Regular and Timely
  ▶ Consider RPT timeline for probationary TT faculty, reappointment schedule for NTT faculty, and support for Tenured Professors
▶ Use to Reward and Recognize Strengths and Excellent Performance
▶ Use to Modify Behavior/Conduct/Performance

Tips for Meeting:
▶ Write out and practice what you want to say
▶ Allow adequate time for the employee's comments
▶ Focus on performance/conduct – not personalities
▶ Seek cooperation, not confrontation
▶ Try to end meeting on a positive note

Appointments and Evaluation of Faculty cont'd

- ▶ PT Faculty Appointments
  - ▶ Academic Year Appointments* and Assignments (14.1)
  - ▶ Teaching Availability Forms (14.3.B)
  - ▶ Preference Factors (14.3.C)
  - ▶ Cancellation Fees (14.3.F)
  - ▶ Notices and Templates
    - ▶ PT appointment notices <u>must</u> include: length and type of appointment, FTE percentage (or indicate course assignments, salary, web address for the location of the CBA and for the union, bargaining unit status, home department, contact info for Department Chair or Dean's designee, and date and location of new faculty orientation in the Fall.
- ▶ PT Faculty Evaluations
  - ▶ Evaluative Criteria (15.8)
  - ▶ Promotion (For Lecturers 15.1.D)

*See Handout

The University of Vermont

Faculty and Department Chair Resources

:: UVM Home
:: Office of the Provost
:: Faculty and Department Chair Resources
Calendar of Key Dates
Catalogue and Curriculum
University Manual, Collective Bargaining Agreements, Faculty Handbooks
Forms and Templates
RPT-Reappointment, Promotion and Tenure
Recruitment, New and Continuing Appointments
Sabbaticals
Trainings/Workshops/Orientations
Contact Information

Faculty Appointment Letter Templates

The following templates are Microsoft Word documents.

1. Non-salaried Faculty (Non-Union)

1.a. Adjunct, Non-salaried New, posted May 2016
1.b. Secondary, Non-salaried *(for existing Staff member)* New, posted May 2016
1.c. Secondary, Non-salaried *(for existing Faculty member)* New, posted May 2016
1.d. Research Affiliate, Non-salaried New, posted May 2016
1.e. Visiting Scholar, Non-salaried New, posted November 2015

2. Part-Time Faculty (Non-Union)

2.a. Part-time Lecturer New, posted May 2016
2.b. Secondary, Part-time Lecturer *(for existing Faculty/Staff member)* New, posted May 2016
2.c. Part-time Clinical New, posted May 2016
2.d. Part-time Emeritus New, posted May 2016

3. Part-Time Faculty (Part-Time Union)

3.a. Part-Time UA Lecturer (I, II, III) New, posted May 2016
3.b. Part-Time UA Clinical New, posted May 2016
3.c. Part-Time UA Research, Library or Extension
    (Includes Emeriti faculty conducting Research) New, posted May 2016
3.d. Part-Time UA Emeritus (for instruction) New, posted May 2016
3.e. FTE Increase Mid-Year, Clinical or Research (Part-Time UA) New, posted November 2015

See Website for Full Listing:
http://www.uvm.edu/~facrsrcs/?Page=Appointment_Letter_Templates.html&

Faculty Workload and Responsibilities
Article 16 – FT and PT Contracts

▶ Department Chairpersons are responsible for the scheduling and assignment of all faculty under their direction, subject to the approval of the Dean

▶ Annual Workload

    ▶ Documented in writing with Workload Form (FT faculty), Appt Letter (PT faculty)

    ▶ Required consultation with FT faculty member

    ▶ Must include allocation of percentage of effort, specific courses and estimated enrollment numbers (FT faculty)

    ▶ May be modified as necessary provided changes are discussed with faculty member and the changes are not arbitrary or capricious

    ▶ Workload forms maintained in the Academic Record File

Leaves of Absence
Article 20 – FT and PT Contracts

▶ Absences – Leaves of Absence (FT contract 20.6)

    ▶ Absences in excess of two weeks is considered a leave of absence, which requires approval of the Provost (requests submitted through supervisory chain)

    ▶ Leaves of absence should be:

        ▶ Requested and approved in advance

        ▶ Recorded in PeopleSoft

▶ Vacation (FT contract 20.6.a; PT contract 20.13)

    ▶ Only for faculty on 12-month appointments (accrued at 1.83 days/month, up to 22 days/year, pro-rated by FTE)

    ▶ FT faculty can carry-over accrued time up to max of 44 days; PT faculty must use accrued vacation before the end of each annual appointment

    ▶ "Faculty whose salaries are derived from research grants or from funds other than the General Fund (e.g., Income and Expense funding, gifts, Extension funding) must use all accrued vacation time before the end of his or her externally funded appointment. Failure to do so will result in forfeiture of such accrual."

Other leaves

- ▶ Medical Leaves
- ▶ Parental Leaves
- ▶ Family and Medical Leave (FT contract 20.6.b)
- ▶ PT Clinical, Research and Library Faculty who hold .50 FTE may use 12 sick days per year (pro-rated to percentage of FTE and length of term) (PT contract 20.11)
- ▶ PT Lecturers are eligible for sick time if they are scheduled to teach 6 hours/week (VT Statute)
- ▶ Family Care Leave (FT contract 20.6.e)
- ▶ Bereavement (FT contract 20.6.f)
- ▶ Military (FT contract 20.6.g)(PT contract 20.14)
- ▶ Unpaid Leave of Absence (FT contract 20.6.i)

Check with your Dean's Office and servicing Labor and Employee Relations Professional if you have questions about leaves of absence.

Professional Development Funds
Article 21 – FT Contract
Article 19 – PT Contract

- ▶ FT Faculty must apply for professional development funds with their Chair, who will make the final decision on the application for such funds.
  - ▶ Requests must be in writing
  - ▶ Departments must have established written guidelines for the criteria and procedures for the distribution of such funds
- ▶ PT Faculty eligible for professional development funds are Lecturers I, II, and III who have taught 18 credits or more. The Provost (or the Provost's designee) makes the final decision on the application for such funds.
  - ▶ Chairs, Directors and Deans must make a recommendation on the merits of the request.
- ▶ Deans have discretion to authorize additional funding for professional development.

Sabbaticals and Professional Development Leave Article 22 – FT Contract

- The Chair's recommendation is critical to the assessment of the sabbatical proposal: must judge whether the proposal meets the "high quality" criteria
- Sabbatical eligibility
  - Leaves of absence are excluded from calculating required years of service
  - Years of service may include any faculty service at the University
  - Years of service may include faculty service at another institution if specified at the time of appointment or later, with the approval of the Provost
- Sabbatical application process and timeline (22.1.j)
  - Applications due to the Department Chairperson no later than Sept 1
  - Consult school or college timetables for deadline to Dean
- Professional Development Leaves
  - Applications due to the Dean with the Chair's recommendation no later than Oct 1

Practical Advice for Supervisors

- Be consistent.
- Have the hard conversations. Ignoring problems will not make them go away.
- Talk to your colleagues.
- Rely on your UVM's support network (i.e., LER, your business manager, EAP).
- Follow-up in writing. Keep your documentation.
- Ask questions.
- Make considered decisions.
- Remember to "fail forward."

Helpful Links

▶ Associate Provost for Faculty Affairs:
http://www.uvm.edu/provost/?Page=facaffairs.html
Faculty and Department Chair Resources: http://www.uvm.edu/~facrsrcs/

▶ FT Contract: http://www.uvm.edu/~facrsrcs/?Page=ftcontract.html

▶ PT Contract: http://www.uvm.edu/~facrsrcs/?Page=ptcontract.html

▶ Calendar of Key Dates:
http://www.uvm.edu/~facrsrcs/?Page=Calendar_of_Dates.html&SM=submenu2.html

▶ UVM Managers' Corner:
http://www.uvm.edu/hrs/?Page=managers/managers.html

▶ LER Professionals and Servicing Areas:
http://www.uvm.edu/hrs/?Page=managers/consultingoverview.html

A Few Legal Issues

Lucy Singer, Deputy General Counsel

Legal Significance of Being a Supervisor

- ▶ Supervisors are Agents of UVM
- ▶ In a legal context, the actions of an agent can be viewed as the actions of the University
- ▶ Supervisors must carefully consider all of their employment-related actions through the lens of risk management – be aware of important University policies and ensure compliance
- ▶ Managing troublesome behavior; discipline
- ▶ Labor Law: Responsible to adhere to the bargained terms of the collective bargaining agreement
  - ▶ Union is the exclusive representative of covered faculty with regard to terms and conditions covered by the agreement

UVM Policies expressly prohibit all forms of discrimination, including sexual misconduct

- ▶ Unwelcome behaviors directed at an individual because of their membership in a legally protected category may violate our Policies, and must be reported if you are a supervisor.
- ▶ Supervisors are required to report suspected violation of the following University policies:
  - ▶ Code of Business Conduct: Required to report suspected fraudulent or dishonest conduct to the Audit Services Office and to maintain management controls that would deter or detect such conduct.
  - ▶ Harassment – Students: Required to report to AAEO
  - ▶ Sexual Harassment and Misconduct: Required to report to AAEO

FERPA Rights Disclosure Policy
http://www.uvm.edu/policies/student/ferpa.pdf

▶ FERPA grants current and former students the right to access their own educational records, while limiting, for privacy reasons, the release of those same records to anyone other than the student and/or their designee.

▶ *Student educational record:* those records, files, documents, and other materials that:

  ▶ contain information directly related to a student, and

  ▶ are maintained by the University of Vermont or by a person acting for the University of Vermont.

FERPA: Disclosure of Records

▶ School officials with a legitimate educational interest may access student records, and may discuss student issues internally without violating FERPA.

▶ Parents have no inherent rights under FERPA to inspect a student's education records.

Eligibility of PT Lecturers for Appointments and Assignments Summary

According to Article 14.1 of the United Academics (Part Time Unit) CBA:

In all cases, the departments, schools, and Continuing and Distance Education (CDE) reserve the right to first assign or to otherwise give preference in assignments to full-time faculty, department chairs, administrators, other non-faculty employees of the University, and adjunct faculty who hold a joint appointment with and who are employed by an affiliated medical facility prior to offering any courses to part-time faculty. In addition, departments and schools reserve the right to first assign or to otherwise give preference in assignments to Senior Lecturers and Lecturers who are covered by the recall rights provision of the full-time faculty Agreement prior to offering any courses to part-time faculty. Following such assignments, remaining available work will be handled as follows:

Beginning in the 2016-2017 Academic Year:

A PT lecturer who has taught a total of 24 credits or more as a bargaining unit lecturer and has been a member of the bargaining unit for greater than 2 consecutive years shall be eligible for annual AY appointments. The assignments will be equal to a minimum of the average number of credits taught in the Lecturers home department over the prior 2 AY of service. The credits will be distributed between the Fall and spring semesters similarly to prior 2 years of service, or as mutually agreed.

Sample scenarios for Lecturers with 24 or more credits of teaching history:

PT Faculty Member A

Lecturer with > 24 credits	AY 15-16		AY 16-17		AY 17-18 (start of eligibility)		AY 18-19	
	Fall 15	Spr 16	Fall 16	Spr 17	Fall 17	Spr 18	Fall 18	Spr 19
Faculty Member A	6 cr	3 cr	6 cr	3 cr	6 cr	3 cr	6 cr	3 cr

The faculty member has an established pattern of teaching history over the past 2 academic years. The pattern should remain stable.

PT Faculty Member B

Lecturer with > 24 credits	AY 15-16		AY 16-17		AY 17-18 (start of eligibility)		AY 18-19	
	Fall 15	Spr 16	Fall 16	Spr 17	Fall 17	Spr 18	Fall 18	Spr 19
Faculty Member B	3 cr	3 cr	6 cr	3 cr	At least 3 cr, up to 6 cr if available	3 cr	3 or 6 cr based on AY 16-17 & AY 17-18	3 cr

The average over the past 2 AY is 3.75 credits per semester. If .5 or higher round up and provide assignment if available. In Fall 17, at least 3 credits should be assigned. If 6 credits are available, assign 6 credits. The assignment for Fall 18 is determined by the assignment of Fall 17 (3 or 6 credits.)

PT Faculty Member C

Lecturer with ≥ 24 credits	AY 15-16		AY 16-17		AY 17-18 (start of eligibility)		AY 18-19	
	Fall 15	Spr 16	Fall 16	Spr 17	Fall 17	Spr 18	Fall 18	Spr 19
Faculty Member C		3 cr	3 cr		3 cr in Fall or Spr		3 in Fall if cr in Fall of 17, Fall or Spr if cr in Spr of 18	

The faculty member should receive at least a 3 credit assignment in AY 17-18 for Fall OR Spring. The AY 18-19 assignment will be determined based on when the AY 17-18 credits were taught. If the credits were taught in Fall, the assignment should be in Fall 18. If the credits where taught in Spring 18, the credits may be assigned in Fall 18 or Spring 19.

PT Faculty Member D

Lecturer with ≥ 24 credits	AY 15-16		AY 16-17		AY 17-18 (start of eligibility)		AY 18-19	
	Fall 15	Spr 16	Fall 16	Spr 17	Fall 17	Spr 18	Fall 18	Spr 19
Faculty Member D	3 cr	2 cr	2 cr	2 cr	3 cr	2 cr	3 cr	2 cr

The credits taught during "GAP" will be calculated in the average teaching history of the past 2 AY.

PT Faculty Member E

Lecturer with ≥ 24 credits	AY 15-16			AY 16-17			AY 17-18 (start of eligibility)			AY 18-19		
	Fall 15	Spr 16	Sum 16	Fall 16	Spr 17	Sum 17	Fall 17	Spr 18	Sum 18	Fall 18	Spr 19	Sum 19
Faculty Member E		3 cr	3 cr		3 cr	3 cr		3 cr	N/A		3 cr	N/A

The priority for eligible lecturers does not apply to summer session assignments.

ELIGIBILITY of LECTURERS and EMERITI for the PT BARGAINING UNIT - Sample Scenarios

LECTURER ENTRY INTO UNIT	Fall 15	Spr 16	Sum 16	Fall 16	Spr 17	Sum 17	Fall 17	Spr 18	Sum 18	Fall 18	Spr 19	Sum 19	Fall 19	*The teaching activity within a two AY period is looked at to assess eligibility.*
Faculty Member A				3 cr	**3 cr**							3 cr		
Faculty Member B					3 cr	3 cr	**3 cr**							Entry into the PT Bargaining Unit is at the start of the second semester taught in the Fall or Spring Semester for the same department or school. Summer sessions do not count toward initial entry into the unit. The qualifying courses may be taught over a 1 or 2 year period. Entry occurs in the next Fall or Spring Semester the faculty teaches.
Faculty Member C						3 cr	3 cr	**3 cr**						
Faculty Member D				3 cr			**3 cr**							
Faculty Member E				3 cr						**3 cr**				
Faculty Member F				FT fac 9 cr	FT fac 9 cr		**3 cr**							Semesters of teaching while holding a FT faculty appointment can be counted towards PT union eligibility. Full time faculty covered under a phased retirement plan or voluntary separation agreement will remain in the FT unit.
Faculty Member G				Co-taught 3 cr	3 cr		Co-taught 3 cr	**3 cr**						Co-teaching of courses is not counted towards eligibility.

LECTURER RE-ENTRY INTO UNIT	Fall 15	Spr 16	Sum 16	Fall 16	Spr 17	Sum 17	Fall 17	Spr 18	Sum 18	Fall 18	Spr 19	Sum 19	Fall 19	*The Re-entry provision applies to the Sept - August period following the end of the GAP Year.*
Re-entry A	3 cr			**3 cr**				Gap Year		3 cr				The GAP year always ends on August 31. Teaching a 3-credit hour course for the former home department in any semester or summer session in the 12 month period following a gap year counts for RE-ENTRY.
Re-entry B	3 cr			**3 cr**				Gap Year			**3 cr**			
Re-entry C	3 cr			**3 cr**				Gap Year				3 cr		
Re-entry D	3 cr			**3 cr**				Gap Year					3 cr	Following the 12 month re-entry period, a faculty member must REQUALIFY for representation

EMERITI WHO TEACH	Fall 15	Spr 16	Sum 16	Fall 16	Spr 17	Sum 17	Fall 17	Spr 18	Sum 18	Fall 18	Spr 19	Sum 19	Fall 19	*Each semester is assessed independent of prior teaching to determine union eligibility*
Emeriti A	**3 cr**				**3 cr**			3 cr		**3cr**				Emeritus faculty member. Only eligible in Fall or Spring if teaching in that semester. Not eligible in the summer.
Emeriti B			3 cr		**2 cr**		**3 cr**			**2 cr**				Emeritus faculty member teaching any credit-bearing course during the Fall or Spring are represented.

Prepared by the LER Office - Sept 2015

- ▇ (yellow) This shading represents the semester/summer a PT Lecturer or Emeriti faculty member enter, or re-enters, the PT Bargaining Unit
- ▇ (light yellow) This shading represents a semester or summer when the faculty member continues to be represented by UA, independent of assigned teaching
- ▯ (white) This shading represents a semester or summer when the faculty member is not represented by UA
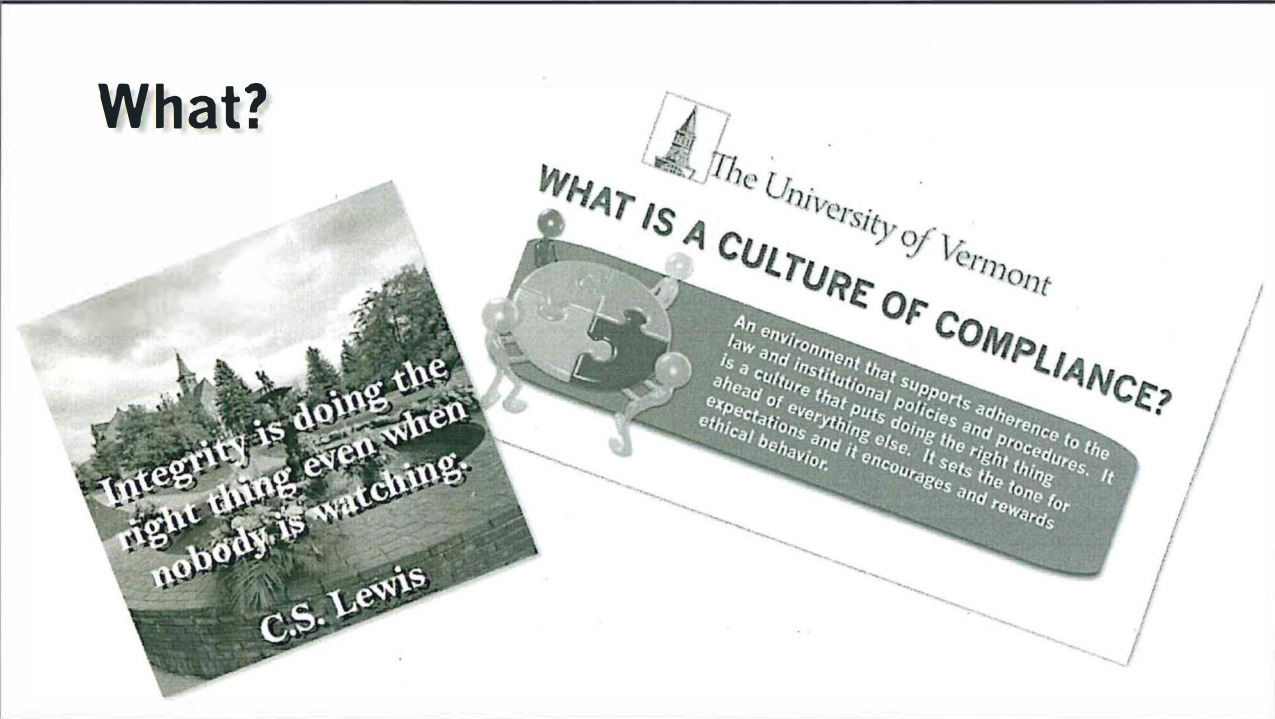
22

little c vs. BIG C Compliance

| Presented by:	Tessa Lucey, MHA, CHC, CHCP
	Director of Compliance Services
	Office of Compliance Services
	August, 2016

What?

Integrity is doing the right thing even when nobody is watching.

C.S. Lewis

The University of Vermont

WHAT IS A CULTURE OF COMPLIANCE?

An environment that supports adherence to the law and institutional policies and procedures. It is a culture that puts doing the right thing ahead of everything else. It sets the tone for expectations and it encourages and rewards ethical behavior.

little c vs. *BIG C* compliance

little c
Compliance

BIG C
Compliance

Operations
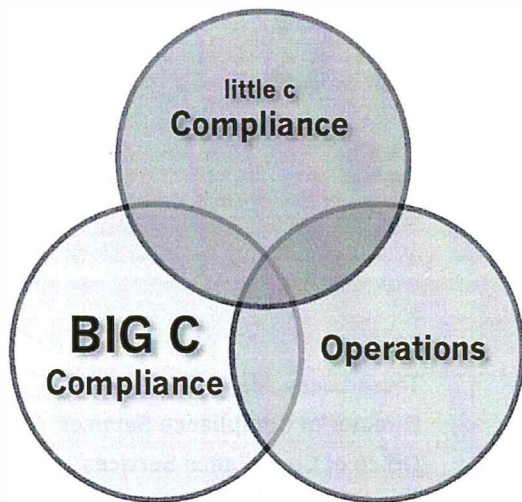
RED RULE: FERPA

BLUE RULE:
Don't share
your password

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little c compliance

Affirmative Action/Equal Employment Opportunity

Occupational Safety and Health Act of 1970 (OSHA)

Higher Education Act

Title IV of the Higher Education Act of 1965   **Clery Act**   Unrelated Business Income Tax

Bankruptcy Abuse Prevention & Consumer Protection Act of 2005

Title IX of the Education Amendment of 1972

Byrd Amendment (Lobbying) **Higher Education Opportunity Act** NCAA   HIPAA

Equal Pay Act of 1963   **Title VI of the Civil Rights Act of 1964**   FERPA

Equity in Athletics Disclosure Act   **Digital Millennium Copyright Act (DMCA)**

Fair Credit Reporting Act (FCRA)

Export Controls   Copyright Act   **Campus Sex Crimes Prevention Act**

Federal Unemployment Tax Act   Copeland Anti-Kickback Act

Emergency Planning and Community Right to Know Act (EPCRA)   Copyright Term Extension Act   **Social Security Act**

OMB A-21: Cost Principles for Educational Institutions

Technology Education and Copyright Harmonization Act (TEACH ACT) of 2002   State Authorization Act   Clayton Antitrust Act of 1914

Immigration and Nationality Act   Sherman Antitrust Act of 1890   **Uniform Guidance**   E-Verify

Truth in Lending Act

Small Webcasters Settlement Act of 2002   Age Discrimination Act of 1975

Sarbanes Oxley Act of 2002 (SOX)   Anti-Kickback Act of 1986

Section 504 of The Rehabilitation Act of 1973
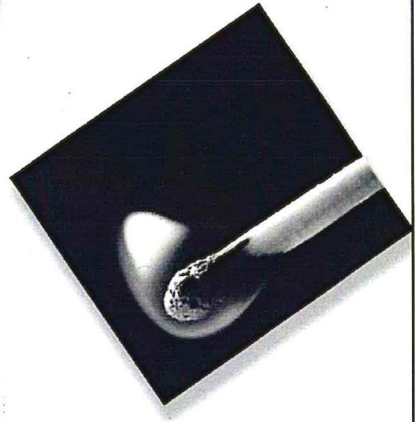
BIG C compliance

What It Means

- little c and BIG C compliance both impact how we do our jobs.
  - Submitting research data
  - Disclosing conflicts of interest/commitment
  - Handling hazardous materials
  - Securing controlled substances
  - Following lab safety procedures
  - Processing student financial aid
  - Protecting civil rights
- Compliance Burden & Cost of Compliance
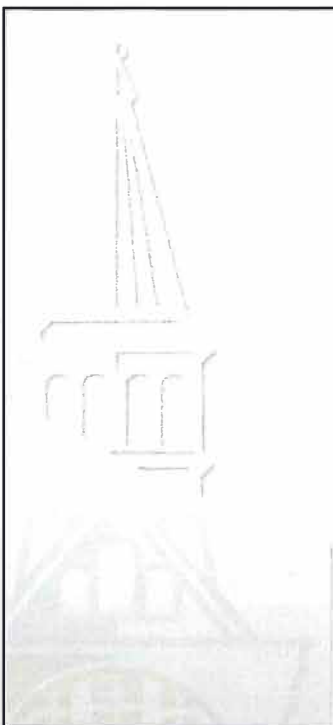- Regulations, Enforcement and Funding

How We Do It...

Your Compliance Program
1.877.310.0413

Help Line

Ethics and Compliance
Reporting and Help Line
877-310-0413

Non-Retaliation
Anonymous

Tessa Lucey

Director of Compliance

Office of Audit & Compliance Services

6-0847

1-877-310-0413

Excerpt from
Message from the President

The President's full message can be found here:
www.uvm.edu/sites/default/files/PresMemo11.15.16.pdf

The University of Vermont values a strong ethical culture. Our motto "Studiis et Rebus Honestis" (Integrity in Theoretical and Practical Pursuits) represents the University's commitment to honesty and integrity. As members of the University Community, we hold ourselves to the highest ethical standards and aspire to act in accordance with the values of integrity and openness stated in "Our Common Ground." I share these values and support our institutional efforts to uphold them. I also fully endorse this Code of Conduct and Ethical Standards.

The full Code of Conduct and Ethical Standards can be found here:
www.uvm.edu/policies/general_html/businessconduct.pdf

UVM's Whistleblower Policy including details on how to report using any of the compliance reporting mechanisms can be found here:
www.uvm.edu/policies/general_html/whistleblower.pdf

The complete HelpLine FAQ's can be found here:
www.uvm.edu/compliance/help_line_faq

Office of Compliance Services
802.656.3086
www.uvm.edu/compliance
compliance@uvm.edu
Billings, Room 159, 48 University Place, Burlington, VT 05405

the Ethics and Compliance Reporting & HelpLine
877-310-0413
OR
go to: *www.uvm.edu/compliance*
and click on:

ETHICS AND COMPLIANCE REPORTING AND HELP LINE →

The HelpLine* is operated by a third party.
It is available 24 hours a day/7 days a week.
Anonymous reporting option available.

*Other reporting options are available.
Visit www.uvm.edu/compliance/compliance_reporting
for more information.

The University of Vermont

why do we have a code?

University personnel are expected to behave ethically at all times and in all situations. Your code of conduct is one tool that you can use when you are faced with a difficult situation, an ethical dilemma or when you're not sure what the right decision is.

Under your Code, personnel means faculty, staff, volunteers, student employees, and anyone hired or contracted to perform duties that are generally associated with an employment relationship (such as a temporary employee or a graduate student that is getting paid through the University).

principles of conduct

Your Code sets out the basic principles of conduct. Your Code lists out the more risky areas for the University. Here are some examples. This list is not all-inclusive. Refer to your Code for more information.

Your full Code can be found here:
www.uvm.edu/policies/general_html/businessconduct.pdf

- Do not discriminate or treat others unfairly.
- Be truthful and honest when filling out official records (including timesheets).
- Do not use UVM resources for your own personal benefit.
- Be safe and report unsafe conditions.
- Make sure private, sensitive or confidential information is protected.
- Do not enter into arrangements that create conflicts of interest or interfere with your ability to do your job at UVM.

The University strictly prohibits retaliation against anyone who reports in good faith.

See www.uvm.edu/policies/general_html/whistleblower.pdf for more information. You can always call the Office of Compliance Services at 802-656-3086 if you have questions or are unsure about reporting.

using the HelpLine

- You can confidentially contact the HelpLine either through the web or by phone.
- You can report anonymously through the HelpLine.
- You can use the HelpLine to report suspected wrongdoing or misconduct.
- You can also use the HelpLine if you are looking for guidance or have questions on compliance matters.

special message regarding anonymous reporting

- If you wish to remain anonymous, the best method to use is the HelpLine.
- All reports to the HelpLine will get a password* and a unique "key".
- For anonymous reports, keep your password and key. This is the only way we can communicate with you. Without your password and key, you will have no way to check back in for updates and we will have no way get more information.
- All reports are kept as confidential as possible; however, anonymity is never guaranteed.

*You choose your own password. For security purposes, never use the same password you use for logging in to your UVM accounts with other websites.
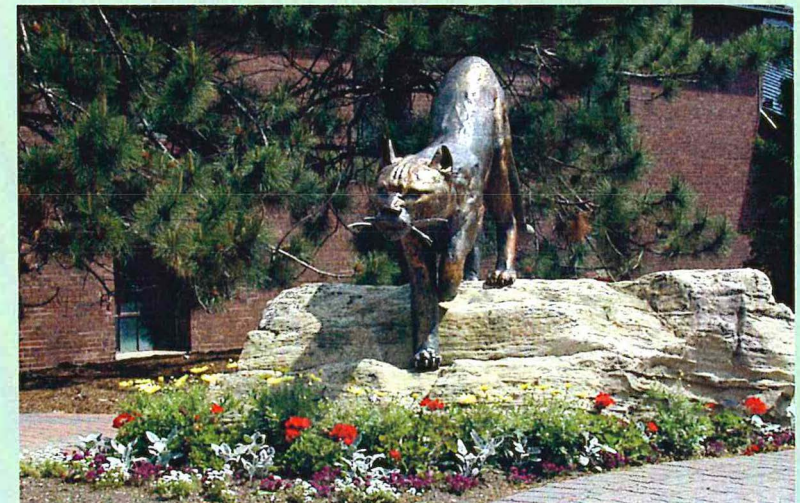
In thinking about your department's needs and opportunities, write down up to 3 areas where you most hope to make a positive impact in your new leadership role.

-

-

-

Now write down up to 3 aspects of your new role that you think will be particularly challenging.

-

-

-

Finally, choose any one of the points you raise above and write down some points to discuss with your partner: why a priority, what leadership style would you employ and why, what assistance you may need.

The Chair's toolbox

As department chair you will not suffer from the Maytag repairman's syndrome. Quite the opposite, few days will go by without having to address a problem, big or small. You will be called to resolve situations that will range from the rather benign – overriding a student into a class, to volatile and potentially combustible situations – mediating a faculty dispute or initiating disciplinary action against a colleague. While we all hope never to face situations like the latter, many will invariable happen and you need to prepare for them.

In this exercise, we want you to envision the five most essential tools you will need to maximize the opportunities in your department, do the maintenance work, and address the most vexing problems. For example, if you are taking over a department where there is current friction and division between some faculty members, you may want to include sand paper and carpenter's glue in your toolbox.

Ask yourself – do you want to be seen as the handyman who came in to do some repairs and patchwork? Or do you want to leave an everlasting legacy – that of a contractor who designed and built an eye catcher for the ages?

Spend 10 minutes filling your toolbox. Focus on the most pressing issues you will face and the ones that are likely to appear most often. Then pick the tool and describe how you would use it.

Present one of your tools and its purpose to the group for feedback.

Advice from a former chair

- ✓ Do not give up your real job
- ✓ Meet with outgoing chair (or former chair(s))
- ✓ Meet with faculty (as a group and individually)
- ✓ Make time for your scholarship
- ✓ Maintain transparency
- ✓ The world is not on your shoulders – seek help, delegate, tap into university resources
- ✓ Build a new network, and do not burn bridges
- ✓ Develop a personal board of advisors and peer mentors
- ✓ Foster relation with your dean, other chairs
- ✓ Get to know UVM – its administrative and fiscal structure; its rich history
- ✓ Keep your career progression and goals in sight
- ✓ Surround yourself with good staff, positive thinking people
- ✓ Grow as an academic leader – study the literature, attend conferences
- ✓ Do not play favorite
- ✓ Maintain a healthy department*
- ✓ Make time for your scholarship

Six Steps to a Healthy Department

By Rob Kelly

Ongoing problems within a department can have profound consequences, including difficulty in recruiting and retaining faculty and students, loss of funding, and even program termination. While the health of a department cannot be the responsibility of a single person, the department chair plays a pivotal role in getting departments out of trouble and maintaining a healthy, positive direction.

Marjorie Chan, professor of geology and geophysics at the University of Utah, has seen her share of thriving to struggling departments from multiple disciplines during her seven years as department chair. She reviewed and worked with other departments that she considers dysfunctional—where faculty members were angry at and avoided each other and often skipped department meetings. "I was appalled that departments were operating that way and the fact that faculty could get away with it was astounding to me."

This experience has given her some useful insights into managing the health of academic departments. She offers the following advice to department chairs:

- ## Set strategic goals.

When faculty members become chairs because it's their turn, they often come in as caretakers rather than visionary leaders, making it unlikely that the department will make significant progress. "It's very important that the chair has a vision that is shared with the entire faculty. You have to prioritize and focus on a couple of things that you want to accomplish as chair. That will help set you on a path," Chan says.

> *Being a visionary leader means acknowledging problems and setting specific goals and objectives in an open manner.*

Being a visionary leader means acknowledging problems and setting specific goals and objectives in an open manner. "In most departments, it helps to lead by team-building consensus as opposed to a dictatorial approach," Chan says.

Some decisions a chair makes are inevitably unpopular but necessary. Having open communication about decisions helps faculty understand how the decision was made. They may not agree with the outcome, but they should feel that the process was fair.

- ## Encourage faculty contributions.

"It is extremely valuable to acknowledge the participation of the faculty. Thanking them is a huge part of having a strong department because a lot of times there's no budget for monetary rewards. But the one thing that we really appreciate and look for is just somebody acknowledging and thanking us for what we did. A lot of [faculty members] go above and beyond the call of duty, and if those efforts are just ignored, faculty members might say [to themselves], 'Why should I keep doing this? Nobody cares what I'm doing.' And that's when I think people start going off in their own directions," Chan says.

- ## Build on individual faculty members' strengths and minimize their weaknesses.

Each faculty member has a unique set of strengths and weaknesses. Rather than one size fits all, it's better to consider how each person can contribute in ways that provide the most benefit to the department. "Take time to pay attention to what is going on, and try to be sensitive to how to approach people on their own level. Not everybody is going to be a star who hits the ball out of the park each time. You still need people on the team who can get the base hit or people who can play multiple positions even though they're not the star. Realizing what people's strengths and weaknesses are and trying to maximize those strengths and minimize those weaknesses will be a positive move forward that builds community," Chan says.

Individuals' strengths and interests can change over time, so it may be necessary to renegotiate expectations. Try to accommodate these individual faculty differences so that evaluation of teaching, scholarship, and service are relevant to what each faculty member contributes to the department. "Often in the academic setting, we just expect everybody to excel in all three of those [realms], and it's just not realistic. I think some of the problems develop because there isn't a lot of flexibility in our system, and it's difficult for faculty members to excel at it all," Chan says.

It's also important to pay close attention to the strengths and weaknesses of new faculty because, as Chan says, "Faculty appointments are some of the most important decisions we make. We have to ask ourselves, 'Is this faculty candidate the kind of person who is going to be an excel- lent team player, or is he or she going to be the kind of person who is going to be a star in only one academic category? Will this person polarize the department?'"

- ## Work closely with alumni, friends, and advisory boards.

Alumni are a valuable asset to a department, and they need to be kept abreast of what is happening in the department through visits, newsletters and annual reports. "When alumni feel positively about the department, they want to give back, and then good things happen," Chan says. "If the department ignores its constituency and lacks communication with alumni, it will be much more difficult to get support to more the department forward."

Because they are familiar with the department and yet are outside of it, advisory boards can pro- vide valuable advice and insights. They can also help build endowments and address particular projects or goals.

- ## Engage students.

Current students are also a source of department vitality. Chan recommends using the student workforce to mutual advantage. "An engaged student body is really the lifeblood of the department," Chan says. "We wouldn't have a department without students. If you can figure out a way to mobilize and engage the students, that can help turn a department around. When the students are involved, they learn responsibility and feel that what they're doing is a contribution to the department. They feel invested in the department and its goals, and that can help move things forward."

• Look beyond the department.

Chan recommends that departments take an outward and future-oriented view—focusing on where a department and its impact on the community ought to be and how to get there. Different components might include how to raise visibility, extend outreach, bring in more students, and build community. Bringing in guest lecturers, alumni, or others can provide new and different perspectives on research and teaching methods. Strong outside support from alumni and friends can help raise the stature of the department in the eyes of the administration.

Collectively, all these points can help build a strong, healthy department that is vibrant and thriving. A positive work environment builds on itself and will perpetuate long-lasting returns that will help ensure a solid departmental future.