

MACALESTER  
COLLEGE



**Handbook for Department Chairs  
and Program Directors**

Provost's Office  
August 2006

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## DEPARTMENT CHAIR/PROGRAM DIRECTOR CALENDAR

### **August**

August 1 – request made for changes in fall class schedule

Mid-August – changes in fall class schedule due to Registrar

During last week – new faculty orientation

### **September**

Wednesday after Labor Day – first day of fall semester classes

September 15 – nominees for promotion to professor due to Provost

### **October**

October 1 – list of seniors in honors program due to Dean of Academic Programs

Mid-October – request made for changes in spring semester class schedule

### **November**

Mid-November – request made for next fall's first year courses

Mid-November – spring semester registration begins

### **December**

Early December – request made for next year's budget information

Early December – curricular changes requiring EPAG approval due

Early December – request made for next year's class schedule

Early December – request for next year's faculty staffing plan from Academic Programs

### **January**

Mid-January – catalog copy from each department/program due to Registrar

Mid-January – faculty staffing plan due to Academic Programs

Late January – next year class schedule due to Registrar

Late January – budget request materials due to Provost

Late January – spring semester classes begin

### **February**

February 1 – faculty addenda due to Provost

Late February – annual chair evaluations of faculty due to Provost

**March**

March 1 – annual performance evaluation for staff due to Human Resources

Early March – Admissions requests information including updates on faculty, recent topics courses, honors projects, awards, alumni and internships.

Mid-March – honors convocation program information due to Academic Programs

Late March – request made for new student registration guidebook information

**April**

During first week – new student registration guidebook information due to Registrar

Early April – final list of seniors in honors program due to Dean of Academic Programs

Mid-April – revised enrollment limits to save space for new freshmen due to Registrar

Mid-April – fall semester registration begins

Late April – information meeting for next year’s tenure/pre-tenure review candidates

**May**

During first week – proofread department/program catalog copy

Early May – Admissions update information due

Faculty salary information sent to Chairs for review

COMMENCEMENT!

Late May – materials for tenure reviews due to Associate Provost

May 31 – end of the College’s fiscal year/new year starts June 1

## **CHAPTER 1: CURRICULUM**

### **Section A: Changes in Courses Offered by the Department/Program**

1. In order to provide enough time to get approved changes into the next college catalog, course change proposals need to be submitted to the Registrar's Office for EPAG review no later than **December 1**. Forms are available in the Registrar's Office and on their website at [www.macalester.edu/registrar/formpage](http://www.macalester.edu/registrar/formpage). These forms must be used for the following types of course changes:
  1. Addition of a new, permanent course,
  2. Deletion of a permanent course,
  3. Domestic Diversity requirement designation for a course,
  4. International Diversity requirement designation for a course,
  5. Significant changes in a course title or description,
  6. Changing the credit for an existing course from 4,
  7. Offering a topics course more than twice or for other than 4 credits.
2. A general description of course change procedures can be found in Section II of the Curricular Policies and Procedures section of the Employee Handbook. Completing the course change proposal form available in the Registrar's Office meets all of the criteria described in the Handbook.
3. New courses may be offered without EPAG approval. Such courses are listed as "Topics Courses". A course may be offered as a topics course two times after which it must be proposed as a permanent course in the curriculum or approved for offering a third time as a topics course. Both actions require EPAG approval.
4. Changes in course offerings will not appear in either the college catalog or the class schedule until approved by EPAG and circulated to the faculty for the required three week period.

### **Section B: Department/Program Listing in the College Catalog**

1. During November the Registrar's Office sends each department/program a request to update their listing in the current college catalog. Instructions for making changes to the catalog are included. The deadline for catalog copy submission is normally in **mid-January**.
2. It is important to begin consideration of the next year's catalog copy long before the deadline. Course change proposals must be made to EPAG by **December 1**. Changes in the text describing the department/program and changes in requirements for the major do not require EPAG review or approval but they might necessitate course changes that do.

3. Adding or deleting a major or minor concentration requires EPAG approval. Such proposals should be submitted before **December 1**. These proposals must be accompanied by a *Curricular Impact Statement*. Details about this statement may be found in the Employee Handbook in Section 7 - Curricular Policies and Procedures.
4. All departmental/program catalog copy is submitted to the Registrar's Office. The material is organized and reviewed for consistency with other department/program descriptions before being sent to the Associate Provost's Office for merging with the non-academic sections of the catalog. Shortly before the end of the spring semester, department chairs/program directors are asked to review the typeset catalog copy and make last minute corrections and minor changes. You or your designee has responsibility for the accuracy of the listing for your department/program in the college catalog. It is important that you are available to proofread your department's/program's catalog copy when it is made available to you in early May.

### **Section C: Department/Program Listing in the Class Schedule**

1. Shortly after **December 1**, the Registrar's Office sends each department chair/program director a request for the schedule of classes planned for the next academic year. This request includes a set of instructions and the deadline for when the schedule needs to be submitted. This deadline is normally close to the first day of classes in the spring semester.
2. During November, the Academic Programs Office sends each department chair/program director a request for First Year Courses to be offered in the next fall semester. These courses require additional planning time and the deadline for their identification is earlier than the Registrar's Office deadline for the full class schedule. These courses should also be included on the class schedule submitted to the Registrar.
3. Department chairs/program directors are asked to submit enrollment limits for each course on their class schedule. These enrollment limits cannot be changed by either the course instructor or the department coordinator. The department chair/program director is the only person who can change these limits. If the limit on a course is reached during the registration period the Registrar's Office will contact you and offer the option of raising the limit. If you will be off campus during the registration period you should tell the Registrar's Office how to contact you or which member of your department/program should be contacted in your place. See Section F in this chapter on policies regarding low enrollment courses.
4. In mid-March department chairs/program directors are asked to submit material to be included in the new student registration guidebooks that are mailed to new freshmen and transfers in the summer. The deadline for the submission of these materials is in early April.

5. The course registration period in the fall for the spring semester normally occurs between mid-November and the end of the first week in December. The registration period in the spring for the fall semester normally occurs during the last week of April and the first week of May.
6. Department chairs/program directors are asked to revise and update their department's/program's class schedule so that accurate information is available to students and advisers. One request is made in August immediately prior to the beginning of the fall semester. The other request is made in October prior to the start of registration for the spring semester. Changes may also be made at any time prior to the request.

#### **Section D: Forms Requiring the Signature of the Department Chair**

Prior to and during the course registration periods you are often asked for your signature on a form. *Please make yourself available to students for these purposes during registration periods.*

1. Major Plan Forms: Department chairs/program directors must review and sign all major plan forms for students wishing to major in their department/program. Additionally, any revisions to a student's major plan form need to be reviewed by the department chair/program director. Since these documents become binding, do not sign blank forms and have the students complete them on their own.
2. Course Registration Forms: You may be asked to sign a registration form for courses requiring the instructor's signature (where the instructor is either not on campus that day or not yet hired). You may delegate this responsibility to someone else but the class schedule should clearly indicate where students need to go to get a signature for these courses.
2. Study Away Forms: Students applying for Macalester's approval to study off-campus are asked to seek your approval for specific courses that will be used to satisfy requirements for their major. Students should be able to provide you with a description of the course or courses for which they are seeking approval.

#### **Section E: Research Undertaken by Faculty and Students**

The department chair/program director is responsible for insuring that the policy regarding research involving human participants is implemented. Questions should be referred to Martin Gunderson, Philosophy Department.

The Institutional Review Board (IRB) protects the rights of human research participants while safeguarding the academic freedom and autonomy of researchers. The Institutional Review Board typically consists of three faculty members and one staff member. The Board must include men and women with diverse backgrounds. It must also include persons with a scientific expertise, though at least one member must specialize in a nonscience area. The IRB reports to the Provost.

All research involving human participants must be reviewed by either the Macalester College Institutional Review Board or an academic department/program committee formed for this purpose. This includes research involving human participants done by faculty, by college committees, and by students as part of an academic course or independent project. Copies of the regulations governing human research are available from the Provost.

Research involving animals is subject to oversight by the Institutional Animal Care and Use Committee.

## **Section F: Policy on Courses with Low Enrollments**

### **1. Policy on Courses with Low Enrollments**

#### **General Policy:**

The College Catalog states: "The College does not hold itself bound for instruction in any elective course for which fewer than five students have registered. Such classes may, however, be organized at the option of the department with approval by the Provost." Additionally, any course with enrollment of fewer than five will be subject to review by the Provost according to the following procedure:

1. The Dean of Academic Programs will consult with department chairs/program directors at the end of the enrollment period for a given upcoming term if there is a course with fewer than five students registered for it. They may decide at that time to cancel the course, and students will be notified then so they can begin to plan which other course they would want to add. Alternatively, the decision might be to wait until the beginning of the term to see if other students join the course. In such a case, we will make a determination about the continuation of the course at the end of the fifth day of the term.
2. Courses with fewer than five students will be canceled after the fifth day of the term unless an arrangement has previously been worked out between the Dean of Academic Programs, the Provost, and the department chair/program director. This arrangement must include a plan for the equalizing of work loads or reduction of pay.

## **CHAPTER 2: STAFFING**

The *Employee Status Form* is used to make adjustments in the appointment of Macalester employees (faculty, staff and students). For faculty, the Provost Office will complete the status form. If you hire a new staff employee, or the staff employee's salary or hours change, you should complete the status form. You only need to fill out the information that is new or has changed. Human Resources will complete the form for your staff employee's annual raise. Forms are available at [www.macalester.edu/hr/forms](http://www.macalester.edu/hr/forms).

### **Section A: Supervising Faculty Employees**

#### **Faculty Staffing and Course Offering Planning**

In December, department chairs/program directors will receive a planning document regarding staffing for the next year. This document will list the number of courses the Provost's Office records indicate each faculty member will teach, including what we know about course releases, sabbaticals, etc. This document also lists part-time faculty. You will be asked to review it and apprise us of any discrepancies. The Provost will use this document to plan the total faculty FTE and salary budget for the upcoming year, so it is important that you keep him informed of any changes in your staffing.

#### **Hiring Part-time Faculty**

If you have new part-time faculty to hire, please work with Ellen Guyer, Dean of Academic Programs, regarding the process for hiring. You will need to send her the faculty member's resume, and she will make the final offer to the new faculty member and issue the contract and Employee Status Form.

#### **Visas**

As part of any hiring process we will need to know whether the applicant is a United States citizen or otherwise legally qualified to work at Macalester College. If the answer is no, then we will need to discuss what options there may be for this person. It is often not possible to hire a part-time person who is not legally qualified to work here due to the difficulties and expense of obtaining a proper visa. The College generally does not pay legal fees for part-time faculty seeking work authorization. Please contact Ellen Guyer for assistance with visa matters.

#### **Addenda and Faculty Evaluations**

Each tenured/tenure track faculty member is required to submit an annual addendum to the Provost's Office by **February 1** of each year, with a copy to the department chair/program director. The chair should then submit an annual evaluation letter on each tenured/tenure track faculty member in your department or program to the Provost's Office by the end of February. Faculty members should receive a copy of these annual evaluations.

## **Pre-Tenure, Tenure, and Promotion Reviews**

Department chairs play a lead role in the pre-tenure, tenure, and promotion reviews of faculty in their department/program. This role includes assisting in the assembly of a list of 10 to 12 outside reviewers, making sure that the review committee has read the complete file, writing an individual recommendation, and coordinating the writing of the consensus letter. Additional duties include soliciting letters from faculty colleagues and current/former students of the faculty member being reviewed. Additional information about the chair's/director's role in each case can be found by contacting the chair of the Faculty Personnel Committee or the Associate Provost's Office.

## **Section B: Supervising Staff Employees**

As department chair/program director, you will probably supervise an administrative assistant or department coordinator, and you may supervise other staff as well. If you are a new chair/director, you should contact Human Resources for information about supervisor training opportunities. Below are some general guidelines about supervising staff; more information is available from Human Resources or the Employee Handbook (<http://www.macalester.edu/hr/handbook/index.html>).

### **Exempt/Nonexempt Staff**

Administrative assistants, department coordinators, and many other Macalester staff are considered nonexempt employees. This means that the College **must** pay them an hourly wage for every hour that they work, and **must** compensate them, at time and one half, for any overtime (over 40 hours per week) they may work. Nonexempt employees are paid every other Friday. They fill out timecards, which the chair/director must sign and send to Payroll.

Exempt employees are exempt from these overtime requirements. They are not paid overtime, and do not have to complete timecards. However, all exempt staff are expected to maintain regular working hours, and complete a monthly time report indicating absences for illness or vacation. *The chair/director signs these reports and is responsible for insuring that they are sent to the Provost.* Exempt employees are paid monthly. If an exempt employee does not submit a monthly time report, it will be assumed that the employee used the full month's allocation of vacation and medical leave.

### **Extra Hours**

If your department/program needs are such that your nonexempt employee must work more than a few hours (over the course of the year) beyond what is budgeted for the position, you should contact the Provost's Office as soon as possible. The College does

not budget for significant numbers of extra hours to be worked by employees, and chairs/directors do not have authority to add hours to an employee appointment.

### **Working Environment**

Many staff do not have private offices. The desk area of employees who work in outer offices is private and should be treated with as much respect as the faculty member's own office. Faculty and student employees should be informed of this policy.

### **Supervision**

As supervisor, you are responsible for maintaining an office environment which is accessible, physically safe and free from discrimination or harassment. In addition, you should provide the employee with clear expectations of the duties of the position, and provide the tools he or she will need to accomplish the job.

You are responsible for ensuring that the employee is performing the duties for which he or she was hired, is observing agreed upon working hours, and is meeting the general expectations the College has of staff employees. In addition, you are responsible for providing the employee with regular evaluation of performance. This includes both informal feedback, **and** a formal annual performance appraisal. The Employee Handbook (Section 5.2) provides more information regarding performance evaluation.

What is said in the annual evaluation should not come as a surprise to the employee. This is particularly true if there is a problem with some area of the employee's performance. Problems such as inattention to work, chronic lateness, or too many personal telephone calls should be discussed as they occur. If problems continue, they should be documented in writing, and should be mentioned in the review.

If there are problems involving a staff employee, please contact the Human Resources.

### **Performance Evaluation**

Supervisors of academic staff must turn in a performance evaluation for continuing employees no later than **March 1** each year.

The performance evaluation document includes a space for both the supervisor and the employee to evaluate past performance, and outline goals for the coming year. The meeting itself provides a chance for you to talk about good things that have happened during the year, and to discuss any areas of concern. It also gives the staff member a chance to talk about accomplishments and frustrations.

It is not helpful to either the employee or the College to write a glowing review for an employee whose work is mediocre. This deprives the employee of the chance to make changes and improve, and makes it very difficult to discipline the employee if the problem gets worse. The goal is two-way, open and honest communication between the supervisor and the employee.

Human Resources and Lynn Hertz in the Provost's Office can provide more information about performance evaluations.

### **Professional Opportunities for Staff**

The College provides a number of on campus training opportunities every year, as well as joint ACTC training sessions. In addition, Human Resources provides some funding for professional development. Please refer to the Employee Handbook or contact Human Resources for more information.

### **Hiring Staff Employees**

If you need to hire a new employee to fill an existing position, you should contact Human Resources. They will send a staff requisition form, also available at <http://www.macalester.edu/hr/forms/employeereqinteractive.pdf>, for you to complete and send to the Provost for approval to fill the position. When the position is approved, Human Resources will assist you in the hiring process.

## **Section C: Supervising Student Employees**

In most academic departments, the administrative assistant or department coordinator hires and supervises student employees. This supervision includes assigning duties, keeping track of hours worked, performance evaluation, and monitoring the department/program student employment budget.

## **Chapter 3: DEPARTMENT/PROGRAM BUDGETS**

### **Section A: The Budget Year**

The College fiscal year runs from June 1 through May 31. Department chairs/program directors submit budget requests during the winter and are notified of their approved budgets during the spring semester. Department/program budgets do not accrue money from year to year.

### **Section B: Creating and Submitting Budgets**

The chair/director is responsible for submitting requests for department/program budgets. In December each department/program receives a packet of budget request materials. The packet should be returned to the Provost by late January. You will be notified of the actual amounts approved during the spring term. This packet will include:

#### **Operating Budget Request**

This is the department/program budget for things like postage, printing, and office supplies. It will include a list of the actual department/program expenditures for the previous year, and a projected standard increase for the following year. If you are willing to accept the standard increase, you may sign and return this form. If you want to request more funding, you should include a rationale for the increase with your request. Funding for office equipment and supplies costing less than \$1,000 would be included here.

Your department/program operating budget FOAPAL number will remain the same from year to year. More information about FOAPALs is available at <http://www.macalester.edu/accounting/WhatsaFOAPAL.html>.

#### **Facilities Management Request**

This is for facilities projects costing less than \$3,000, such as new shelves, electrical outlets, or painting and carpeting of an office. If your request is approved, Facilities Management will pay for the project. If you know that there will be an office move during the summer you should include move-related requests at this time.

#### **TEM (Technology, Equipment, Maintenance)**

This fund is for department/program purchases of more than \$1,000. Facilities requests of more than \$3,000 are also included in TEM. This is how you would request a new workstation for the department coordinator, or an expensive piece of equipment. TEM is not intended for purchasing computing equipment, which should be requested through ITS. There is no standard increase for TEM, it must be requested anew each year.



## **Student Employment Request**

This sheet includes both academic year and summer student employment.

Student employees are hired through Human Resources. The size of your department student employment budget and the award of the individual student determine the number of students you can hire during the school year. Priority should be given to students who have work awards as part of their financial aid package. Summer student employees are considered temporary staff, and are also hired through Human Resources. They are not subject to financial aid restrictions, but only department with budgeted summer student employment may hire students. Most academic departments do not have summer student employees.

## **Computing Request**

Macalester replaces computers on a four year schedule. Employees are notified by e-mail when their computer is eligible for replacement. ITS also considers requests from departments for additional computers, or requests that a computer be replaced early. If the request is approved, ITS will pay for the equipment.

New faculty with tenure eligible appointments receive startup funds to pay for a computer and software. New non-tenure eligible faculty usually use an existing department/program computer. If no computer is available, then a computer for the faculty member to use during his or her appointment should be requested at the time of hire. More information about the microcomputer fund is available at <http://www.macalester.edu/its/funding/>.

## **Section C: Managing Department/Program Budgets**

### **Operation ELM (Effectively Linking Macalester):**

The College is in the process of converting from the CARS administrative software system to a new system from SunGard® Banner. The conversion is being implemented in stages, beginning with Business Services. Business Services began using the new system June 1, 2006, and will continue to add functions during the 2006-07 academic year. More information is available at <http://www.macalester.edu/elm> or <http://www.macalester.edu/businessservices/>.

The department chair/program director manages department program budgets, usually with the assistance of the department coordinator.

### **Department Budget Information**

The Banner information system has an option called *FGIBDST* which enables chairs/directors and assistants to look up the status of their budgets at any time. The information available includes the budget for the department, the amount spent as of that day, and any purchases that have been ordered but have not yet arrived. If a situation develops in which you think you may overspend your budget, please call the Provost. *Otherwise, any charges in excess of your budget will be deducted from the budget for the next year.*

For more information on how to access budget information contact Business Services at <http://www.macalester.edu/businessservices/> . They offer classes in understanding college financial procedures, as well as a policy and procedures manual.

### **Credit Cards and Purchase Orders**

Most academic departments have a Macalester credit card, or P-Card, to use for department purchases. Usually the card is in the name of the department coordinator.

The P-card is intended to help departments:

- eliminate steps in the requisitioning process
- simplify the reimbursement process
- assure timeliness of payment to vendors
- reduce or eliminate out-of-pocket expenses

As department chair, you approve charges made to the card before the bill is paid.

The majority of your department/program purchases should be made with a P-card or purchase orders, rather than check requisitions or petty cash. For either option, an *original receipt* is needed. For purchase orders, the invoice should be sent to purchasing once the item is received. More information about P-cards and purchase orders is available at <http://www.macalester.edu/rpa/>.

### **Signing Authority**

As chair/director, you have authority to purchase items costing less than \$1,000. All items over \$1,000 must be sent to the Provost's Office for approval. You may approve petty cash reimbursement up to \$50 for others in your department. If you need reimbursement for yourself, the Provost's Office approves petty cash reimbursements for chairs.

## General Spending Guidelines

### 1) Entertaining Students

Department/program budgets are not meant to pay for more than modest entertainment expenses. Semester or end-of-year social events for student employees or majors should be held on campus, at a local restaurant, or at a faculty home, and the department/program contribution should be no more than \$10.00 per person. If the department/program would like to host a more expensive event, faculty and students are expected to contribute to the cost.

*Alcohol should not be served at any department event involving students, even if the students are over 21.*

Faculty who entertain students at a faculty home may receive reimbursement for food and non-alcoholic beverages from the Tom Leonard Fund. Receipts may be submitted to the Associate Provost's Office. The Leonard fund does not reimburse for entertainment expenses paid for with department credit cards.

Departments may purchase moderately priced gifts, such as tee shirts or books, for their majors or graduating seniors.

### 2) Dues, Subscriptions and Travel

Department/program budgets are not intended to pay for individual faculty dues, subscriptions or professional travel, for individual student travel to conferences, or for staff development. Faculty should use their FTR (Faculty Travel and Research) Funds, or apply for additional financial support from the Wallace Travel and Research Fund. Students who are going to a conference in which they will have an active role may request support from the Dean of Academic Programs. If department funds are used to supplement this support, Provost approval is needed. Staff should contact Human Resources to request funding for professional development opportunities.

A staff member or group of students may be asked to participate in a local or regional conference or event and may use department/program funds for registration or van rental.

Departments/programs teaching courses in which a local or regional field trip is part of the course may build the cost of such trips into their budget.

3) Computing:

Department/program budgets may be used to purchase computer software or minor (under \$1,000) hardware. Otherwise, computers and printers should be purchased through the regular ITS request process.

4) Fiscal Year Constraints:

If you are planning travel or an event during the summer months, it will be charged to the new fiscal year, even though you may have paid for the expenses before May 31. This is a requirement of the college auditors.

Items that are encumbered (ordered but not yet delivered) as of May 31 will be charged to the next fiscal year.

### **Business Services**

The Business Services Manual, available at [www.macalester.edu/businessservices/manual](http://www.macalester.edu/businessservices/manual), provides specific information and forms for a variety of financial transactions including

- honoraria for non-Macalester employees
- travel advances
- purchase orders
- Macalester credit cards (P cards)
- reimbursements and payments to Macalester employees
- journal vouchers
- check requisitions

### **Restricted Accounts**

Some academic departments have, in addition to their regular operating budget, a restricted department or program account.

**Endowed Funds:** These restricted accounts are both endowed and budgeted. This means that they are part of the overall College budget, but the income in the account comes from the endowment that created the fund.

Your department should have a description of the endowed fund. The department is responsible for ensuring that the expenses charged to the fund meet whatever restrictions are in the endowment. The description is your guideline in determining appropriate charges to the fund.

The income from the endowment is added quarterly, and is expressed as a negative number (credits, in accounting terms). Expenses charged against the fund are expressed as positive numbers. The budget for restricted funds is based on earnings from the endowment, so it may go up or down in a given year. You will be notified of the approved budget amount in the spring. If the budgeted income is not expended at the end of the fiscal year, it remains in the account as an accumulated fund balance.

If you have a large accumulated fund balance, you should talk to the Provost to determine if there is an appropriate expense that can be charged to the balance. Departments may ask to use all or part of the accumulated fund balance in an account, as long as the use meets the restrictions of the fund.

**Non-endowed funds:** These restricted accounts are not budgeted or endowed. The funds in the account are not intended to be part of the endowment or generate interest income, and are restricted for a specific use. They are not budget relieving, and not part of the on-going College budgeting process. The account is set up to hold funds given for a specific purpose, and the fund automatically rolls forward from year to year until the money is expended.

Occasionally departments have non-endowed funds from gifts intended for a specific use, such as the purchase and maintenance of a piano, or a fund for student travel. If your department has a fund from a gift, you may spend it according to the restrictions of the gift.

## **CHAPTER 4: STUDENT CONCERNS**

### **Section A: Grade Appeals and Violations of Academic Integrity**

#### **Grade Appeals**

Department chairs/program directors are involved in the process when a student appeals a final grade. What follows is the official policy on grade appeals as found in the Student Handbook. If a student approaches you with a grade appeal, you may wish to call Ellen Guyer, Dean of Academic Programs, for guidance regarding the appropriate procedures to follow.

Students who believe that they have been subjected to arbitrary or discriminatory academic evaluation by faculty members are guaranteed the right to appeal. In questions of alleged improper academic evaluation students must follow this procedure to appeal:

- a. consult the individual faculty member;
- b. consult the department chair/program director;
- c. consult the Provost.

The student must give the department chair/program director and the provost a written statement providing relevant facts and the reason for the appeal. The chair/director and Provost must render a definitive opinion in writing concerning their findings, giving copies to the faculty member and the student. The chair and Provost cannot refer the problem back to the faculty member.

Arbitrary or discriminatory academic evaluation involves any or all of the following:

- Grading on a basis clearly irrelevant to the student's mastery of the course.
- Grading on a basis which has not been consistently applied to all students taking the same course concurrently.
- Grading on a basis which is not consistent with prior practices or announced policies in that course during the semester.

#### **Academic Integrity**

If a faculty member approaches you about a possible violation of academic integrity in one of his/her courses, please refer that person immediately to Ellen Guyer, Dean of Academic Programs. The policy governing this matter can be found in the appendix of the Employee Handbook.

## **Section B: Advising Issues**

### **Syllabi**

According to the Employee Handbook, copies of all course syllabi are to be kept in a specified location in each department. This is particularly useful to students during the advising period that precedes each registration period. During the two weeks of advising it is helpful to have copies of the syllabi for the upcoming semester posted in an accessible location.

## **Section C: Honors**

The Honors Program is housed in the academic departments and programs offering a major. Only those departments or programs whose Honors proposals were approved by EPAG may offer Honors. Department chairs/program directors should oversee the procedures for Honors within their departments. The following college deadlines must be observed:

Each year by **October 1**, the department chair or program director must submit to the Dean of Academic Programs a list of seniors preliminarily approved by the entire department/program to pursue an Honors project. Departments or programs must submit a second list of seniors approved by all members of the department/program to continue their Honors projects to the Dean of Academic Programs during January, as well as a final list of students who have successfully completed the Honors requirements by mid-April (April date to be determined each year based on the date of graduation). (For seniors graduating in December, the respective dates are **March 1**, during September, and mid-December.)

## **Section D: Year-End Events**

### **Honors Convocation/Commencement Departmental Gatherings**

There are two major events associated with the end of the academic year that involve planning by the department chairs/programs directors. The first involves the distribution of the departmental awards and honors. At the beginning of the Spring semester the Academic Programs Office will send you a list of the prizes that your department/program awards to students. You will be asked to provide the names of the new recipients. Your department/program will then plan how you will distribute prizes to non-seniors and you or your designee will also be asked to attend the Honors Convocation on Commencement weekend to award the prizes to the seniors.

Please note that department budgets cannot be used to fund prizes. New prizes can only be added through the creation of a specifically designated endowment of at least \$10,000.

Your department/program will also host a departmental gathering for seniors and their families on Commencement weekend. Planning for this event will be done in cooperation with the Commencement /Senior Week Steering Committee, and you will receive information from that committee during the spring semester. If your department participates in this event as organized by the College, the cost of the departmental/program gathering will be shared by the Leonard Fund and the Dean of Academic Programs. If your department chooses to organize its own event, then the department will be responsible for the majority of the cost of the event. Alcohol may not be served at departmental events involving students.

## **Section D: Student Travel Policy**

### **Criteria for College Sponsorship of Student Travel**

Experiential learning is a valuable part of the Macalester experience, and one which occasionally calls for a student or a group of students to travel more than sixty (60) miles one way from campus. This could include but is not limited to such activities as:

- participation in a service project
- gathering data for a research project
- participation in an educational project sponsored by another organization
- conducting independent academic research, etc.
- attendance at a conference or program

Any plans for student travel as an official organization of Macalester College or utilizing Macalester resources, both individual and group, should first be approved by the Student Travel and Program Committee. Macalester values student initiative and resourcefulness. This policy is not intended to serve as a barrier to student travel but rather as an opportunity to ensure appropriate provisions for the safety and security of participants have been arranged and appropriate College policies addressed. This process does not constitute approval or endorsement of the proposed travel or agenda. Participants understand that some risks may be involved. This policy is intended primarily for one time or non annual events. Routine travel by athletic teams as well as established travel for study abroad programs should follow the guidelines already established by the Athletic Department or International Center, and would not need to be reviewed through this policy. All requests involving the use of College resources should be submitted to the Dean of Students Office not later than four weeks from the planned date of travel. Notification of events not requiring the use of College resources may be submitted up to one week prior to the event.

1. All arrangements and required details noted on the request form should be completed prior to submission. Incomplete forms will not be accepted. All requests for travel must have the support of a faculty or staff advisor. The review committee assumes the faculty/staff member signing off has assessed the developmental/intellectual merit as well as the importance of applicable travel, logistic and other college policies with the student/group.
2. Other applicable policies, such as van rental policies, continue to apply.

3. Travel to destinations on the U.S. Department of State Travel Warning list or other areas in which the environment poses an undue threat to the health or safety of travelers is not permitted.

**Request for College Support:**

Review by the Student Travel & Program Committee is necessary for utilization of any College resources or request for college funding. This includes academic departments, an individual employee, an administrative or student affairs department, or a student organization. The following procedures are considered minimum guidelines. Individual departments or organizations may include additional procedures. In addition to the information outlined below, the group should also provide a detailed budget for the trip including travel, room and board, any local fees, excursions, etc., as well as an outline of what funding sources have been contacted/secured.

1. Provide a description of the educational goals of the trip. How will participation in this activity enhance your overall educational experience at Macalester? If a particular organization is responsible for the arrangements for this experience, please provide detailed information about this organization.
2. Provide an itinerary for your trip. This should include a detailed description of the travel arrangements you have made including travel to and from your lodging and your daily activities, the daily activities in which you will participate, as well as plans for emergency health care.
3. Academically related travel must be reviewed by the Dean of Academic Programs prior to submission. *\*Note:* Students are not automatically excused from class for events receiving funding from the Student Travel & Program Committee. Each individual participant is responsible for seeking approval from faculty members to be excused from class.
4. International travel must be reviewed by the Study Abroad Coordinator prior to submission.
5. Travel utilizing college owned vehicles must be reviewed by the Director of Safety & Security.
6. College funds may only be utilized by current students, faculty and staff, without prior approval.
7. Travel outside the continental United States may require the submission of a waiver from a parent/guardian.

## **CHAPTER 5: PROGRAM ASSESSMENT**

Each department/program should have completed a plan for assessing the effectiveness of the curriculum within their major as part of the information collected by the Self-Study Committee prior to the Higher Learning Commission visit in April of 2006. The department chair/program director is responsible for insuring that this assessment plan is being carried out. From time to time, each chair/director will be required to provide a report to the college's Assessment Steering Committee on the department's/program's assessment activities .

Questions regarding assessment activity can be referred to one of the co-coordinators of assessment for the 2006-2007 academic year:

Danny Kaplan, Professor of Mathematics and Computer Science, or

Dan Balik, Associate Provost for Institutional Research.

### **Department/Program Reviews**

Approximately every ten years each department/program is reviewed by a team of external reviewers. The chair/director is responsible for coordinating the development of a list of reviewers, scheduling the review team's two day campus visit, and coordinating the department's/program's response to the review team's report. The Associate Provost's Office maintains a budget for these reviews and provides information regarding the review process. The schedule of department/program reviews is set by EPAG in consultation with the Provost and the Associate Provost. Schedules are available from the Associate Provost's Office.

## **CHAPTER 6: WORKPLACE POLICIES**

### **Section A: Equal Employment Opportunity**

In your work as Department Chair, it is important to understand and comply with the College's Equal Employment Opportunity policy. The Employee Handbook states:

In complying with the letter and spirit of applicable laws and in pursuing its own goals of diversity, Macalester College shall not discriminate on the grounds of race, color, creed, religion, national origin, sex, marital status, status with regard to public assistance, membership or activity in a local commission dealing with discrimination issues, disability, sexual orientation, age, and veteran's status in employment policies and practices, education, and all other areas of the College. The College provides reasonable accommodations to qualified individuals with disabilities upon medical certification of the disability.

This policy applies to all employees and applicants, and all employment-related decisions, including hiring, promotion, discipline, discharge or compensation-related decisions.

Macalester policy also prohibits, consistent with federal and state law, any retaliation against persons who raise a concern or a complaint that the College has in any way violated its equal employment opportunity obligations. That policy states in part:

Macalester College will not retaliate against or take any form of reprisal against a person because that person made a complaint of discrimination or harassment, or opposed a discriminatory practice. Any such retaliation or reprisal by a College employee is forbidden.

All management and supervisory employees are responsible for taking actions necessary to comply with these policies. Compliance with the letter and spirit of these policies will be an important factor in performance evaluation. The Director of Human Resources is available to answer any question regarding the meaning and application of these policies.

## **Section B: Harassment Procedures**

### **Procedures Against Harassment Harassment**

#### **Preamble**

Macalester College does not tolerate harassment in any form or based upon any protected class status. It is inconsistent with the maintenance of academic freedom and violates community standards. Harassment generally means the creation of a hostile learning and work environment and may arise from verbal, written, or physical conduct. [For a fuller explanation, see relevant Student Handbook sections or Employee Handbook section 12.] The goal of this policy is to create a community free of any form of harassment. The College will take immediate and appropriate corrective action when it determines that harassment has occurred. Additionally, to the extent possible consistent with its responsibility to investigate complaints and take appropriate corrective action, the College will protect the confidentiality of the complaint process.

This policy against harassment shall be applied in a manner that protects academic freedom and freedom of expression within the College. Nothing in this policy shall be construed to limit the legitimate exercise of free speech that can reasonably be demonstrated to serve legitimate educational or artistic purposes, nor shall this policy be construed to infringe upon the academic or artistic freedom of any member of the College.

#### **Prevention**

Education, effective prevention efforts, a clear and widely disseminated complaint procedure and prompt, thorough and impartial investigation comprise the cornerstones of an effective policy against harassment. Accordingly, Macalester College requires that:

- 1) All new students and new College employees including full-time, part-time, and temporary faculty and staff will be informed of Macalester's Anti-Harassment Policy as part of their orientation to the College. This information is to be provided both in person and in writing within 15 days of matriculation or employment. Supervisors or their trained designees will provide this information to new employees. The Dean of Students Office shall inform new students. This information shall include:
  - A clear explanation of prohibited conduct,
  - Examples that will assist the individual in distinguishing between acceptable and unacceptable behavior,
  - Support services available,
  - Complaint procedures and options clearly described in plain language,
  - The individual's (employee's, in particular) responsibility to report observed or suspected cases of harassment of which they become aware, and

- The prohibition of retaliation against persons who make good faith reports of harassment.
- 2) Education and prevention programming and procedures will be reviewed and evaluated at least annually by a committee composed of the Director of Human Resources, Dean of Students, and Provost and changes will be instituted where indicated. Included in this review will be an assessment of the accessibility of information and assistance for complainants.
  - 3) The Director of Human Resources, Dean of Students and Provost will also hold an annual session for program heads, department chairs, and other line officers in which anti-harassment policy and procedures, as well as any changes in policy, are presented and discussed. In addition, during the first two years of this new policy, the Macalester College Harassment Committee (MCHC) members (defined in complaint procedure section) or their designees will hold annual training sessions for all College employees. Each employee is responsible for attending one session.

### **Information Accessibility**

Information about Macalester's anti-harassment policy and procedures must be made easily available to all members of the Macalester community. Likewise, up-to-date information about making a complaint must be easily available. Accordingly, Macalester's Webmaster shall be instructed to evaluate the Macalester website search engine with regard to ease of access to anti-harassment policy and procedure and make improvements where indicated. Key information should be contained on cards placed in the safe sex/community sections on campus bulletin boards and offices such as the Dean of Students, Human Resources, Chaplain, and other accessible locations as indicated. In addition, faculty and staff will receive information regarding what to do if they receive a complaint. This information will be provided in training sessions as needed and included in faculty, staff, and student handbooks.

### **Complaint Process and Procedures**

*(The procedures described in this policy are intended as guidelines describing how harassment complaints will typically be handled. The College reserves the right to vary from these procedures based upon its evaluation of the circumstances of each matter.)*

#### **Macalester College Harassment Committee**

All harassment complaints, except against the College President, will be received and processed by the Macalester College Harassment Committee (MCHC). Official complaints against the President will be promptly heard and dealt with by the Macalester Board of Trustees. The committee will consist of 2 faculty members appointed to 3-year renewable terms by the President upon consultation with EPAG and senior College officials and 2 staff members whose appointments are part of their regular duties assigned by the Director of Human Resources and/or the Vice President of Student Affairs. Two alternates will also be appointed and will be available to serve in cases where a recusal by an MCHC member has occurred.

Community members may also use the MCHC as a resource regarding questions or concerns about an incident or situation without registering a complaint. In these cases one or more MCHC members will provide information and counsel only unless an official complaint is initiated.

### **Submitting Complaints**

When a member of the Macalester community believes he or she has experienced or is experiencing harassment or believes that another member of our community has experienced or is experiencing harassment by another member or members of the College community, the individual should immediately bring the concern to the MCHC. Note: Any College employee who suspects harassment has occurred or is occurring or who receives information regarding possible harassment must immediately bring the matter to the attention of the MCHC. In addition, the MCHC will treat any public reference to possible harassment, such as an allegation in an article published in the student newspaper, as a formal complaint.

It may be the natural tendency, e.g., for faculty who are feeling harassed, to talk to the Provost or for students to seek support from the Dean of Students. However, with problems involving harassment, the Provost and the Dean of Students must forward the concern to an MCHC member. There is no parallel process whereby anyone other than a MCHC member may attempt to resolve the suspected harassment problem.

### **MCHC Procedures Upon Receiving Complaint**

Individuals submitting or receiving complaints are expected to observe community standards of responsibility and confidentiality in doing so. The MCHC member receiving the complaint will offer support services to the individual and determine whether a report must be made to the police (the law requires reporting in certain instances). Regardless of whether a report to the police is made, the MCHC member will follow established Macalester procedures independent from any police involvement and is specifically prohibited from engaging in any information exchange during or after the conclusion of case except as the law requires.

#### *Evaluation of Complaint*

The MCHC member receiving the complaint will determine the next course of action which could include mediation, investigation or a finding that the complaint does not constitute an alleged violation of the Policy Against Harassment. To accomplish this, past records may be consulted. In cases involving a third party bringing forward a concern, the MCHC member receiving the information will consult with the individual reportedly being harassed. Though the MCHC member receiving the complaint has the discretionary power to determine what the next course of action should be, in all cases he or she will inform promptly the other members of the MCHC that a complaint has been brought forward and the planned next course of action. Persons named in the complaint will also be promptly notified of the complaint and informed of procedures and options available to them.

No Action Option. If the MCHC member concludes that neither an investigation nor mediation is warranted, a memorandum detailing the complaint and the reasons for this conclusion will be provided to the other members of the MCHC. The MCHC, in turn, may direct further action, such as mediation or investigation.

Mediation Option. In essence, mediation is a means of resolving conflicts or misunderstandings between a complainant and respondent. The goal of a mediation procedure is for two parties, using a facilitated problem-solving approach, come to an agreement regarding the solution to the problem or issue between them. They then clearly specify any changes in behavior toward one another to which the parties have agreed. Institutional sanctions or punishments are not permitted outcomes of mediation.

*Procedure.* If the MCHC member or MCHC team determines that internal or professional mediation is appropriate at any point after receiving a complaint, it will be recommended and explained to both the complainant and respondent. If both parties agree to participate, a mediator, who will facilitate the mediation process, will be provided.

*Outcome.* If mediation is rejected by one or both parties, or if an attempted mediation fails to conclude with a mutually agreed upon resolution, the MCHC may decide to take no further action or to begin (or continue) an investigation. If mediation was undertaken, a report will be filed with the MCHC at its conclusion, successful or unsuccessful.

Investigation Option. If the MCHC member (or the MCHC team) determines that an investigation should take place, the other three members will be notified, and the investigation will begin as soon as feasible after the complaint was initially received. Three of the four members of the MCHC will conduct the actual investigation. The fourth member will be informed that an investigation is occurring, but will not participate in the investigation. The investigation will be conducted in a thorough and impartial manner and normally will be completed and reported within two weeks.

*Protection of confidentiality.* During the course of an investigation, the investigators may impose restrictions on the parties and other participants for the purpose of maintaining the confidentiality of those involved in the investigation and minimizing the potential disruptiveness that the investigation may have on the College community. Anyone involved in an investigation that violates such restrictions will be subject to appropriate sanctions.

*Outcome.* Upon completion of the investigation, the MCHC may 1) close the case without action and file a report summarizing the case and the reason for the conclusion; 2) obtain of their investigation to the appropriate College authority (identified below) in order to determine the next appropriate course of action or sanction.

*Report procedures.* Normally, in reporting cases involving a student as the respondent, the Dean of Students will be the relevant authority. In cases involving a faculty member as the respondent, the Provost will be the relevant authority, and in cases involving a staff member,

the member of the President's Senior Staff to whom the individual ultimately reports will be called to hear the facts presented by the MCHC. If the specifics of a case require one of the above named authorities to recuse himself/herself from a case, one of the other authorities will take the case. If a student is involved as either the complainant or the respondent, then an impartial student observer, appointed by the MCSG, will be called to listen to the presentation of the facts. This student observer will observe and, if necessary, ask questions and enter into discussions regarding the procedures followed in the investigation. The student will not participate in a discussion of the facts in the case or their interpretation. If there are concerns about procedural errors, they may be remedied before the sanctions phase.

## **Sanctions**

Sanctions may range from reprimands or training to immediate termination of employment or expulsion.

Upon completion of the fact-finding report, the MCHC and the relevant College authority will immediately meet and make a determination regarding the case including any sanctions that are warranted. Past records will normally be reviewed only at the sanctioning phase of the investigation.

The relevant College authority will also prepare a written "Case Determination" that describes the decision and sanctions in detail. This document must indicate whether any record is to be placed in the respondent's personnel file and if so, the precise statement is to be attached to the document and will be included in the case file kept by the MCHC. The College authority will then meet with the respondent to inform her or him of the decision and provide a copy of the Case Determination and any attachment.

When a severe sanction against a faculty member is recommended, a hearing must first be held and conducted according to the rules stipulated by the American Association of University Professors (AAUP). A hearing will take place before the Faculty Personnel Committee. Members who find it necessary to recuse themselves will be replaced by available former members of the Committee with preference given to those having served most recently. In the case of sanctions against a member of any collective bargaining unit, contractual grievance and arbitration procedures will remain available to the employee.

## **Appeal**

If the complainant or the respondent believes an adverse decision was the result of improper procedure, an appeal may be brought on those procedural grounds. The fourth member of the MCHC, who was not involved in the case, plus the Chair of the Sexual Assault/Hate Crime Review Committee, will hear the appeal and make a ruling about procedural compliance. In cases involving students, the student observer of the presentation of the facts of the case will normally be called on by the committee before a judgment is rendered. If the committee

determines that procedural errors warrant reopening the case, the appeal will be granted and the case returned to the MCHC. The decision of these two people is final.

## **MCHC Record Keeping**

The MCHC is responsible for keeping secure records of every case. These records will be accessible to the MCHC members only and only in the circumstances described below. No other records or reports should be created or kept anywhere unless specifically ordered by an administrative officer as part of a sanction, e.g., a reprimand placed in a personnel file. Two different types of records will be kept as described below.

Case Files. The MCHC will create a file for each complaint received. This file is to be kept in a secure place in the Administration Building and accessible only by an authorized member of the MCHC. The file will be numbered and will contain the following information.

1. Names of complainant(s) and respondent(s)
2. Whether complaint(s) and/or respondent(s) were involved in prior complaints
3. Nature of complaint and time period or dates of occurrence(s)
4. Outcome including final report (mediation contract, dismissal, sanction, other)

Once the case has been completed, the file will be closed and stored in a secure archive of prior cases accessible only to the MCHC when a new case involves someone who has been involved in a prior case. The termination of whether prior cases exist will be accomplished using the Master Record Summary.

Master Record Summary. The names of all parties involved in a case will also be entered into a master spreadsheet indicating the date the case was opened, the date the case was completed, and file number. If a sanction was administered to someone, it should be noted, including the dates the sanction is to be in effect, e.g., probation period, etc. This Master Record Summary is to be kept in a secure place accessible to the MCHC only. It is to be consulted by an MCHC member in charge of a new case to determine if the complainant or respondent has been involved in any prior case. If yes, then the case manager may open and examine that file as part of the process of assessing the current case and may include information about prior incident in any final report if deemed appropriate.

Normally, records and files will be kept for seven years after an individual has left the College.

### **Section C: Safety**

As a supervisor, you are expected to review Section 5 of the Employee Handbook. These sections provide information about safety and security at Macalester.

You, or a department/program member designated by you, is responsible for ensuring that applicable safety regulations, policies, training and documentation are followed as prescribed by federal and state OSHA regulations, the Macalester College and Science Division Chemical Hygiene Plan, and the Employee or Student Handbooks.