

**UNIVERSITY SENATE RECOMMENDATIONS TO THE PROVOST**

Rec. #

Recommendation

**2011-11-05    The University Senate recommends that the Provost seek continued approval of Policy 1.5040: Department Head Selection and Review (attached).**

_____	11/21/2011_____
Kelly L. Madole, Ph.D. University Senate Chair	Date

Approved  Not Approved

**11/21/2011**

_____	_____
A. Gordon Emslie, Ph.D. Provost	Date



## **POLICY & PROCEDURE DOCUMENT**

NUMBER: 1.5040

DIVISION: Academic Affairs

TITLE: Selection, Appointment, and Reassignment of Department Heads/Chairs

DATE: August 23, 2011

REVISED:

Authorized by: A. Gordon Emslie, Provost and VPAA

### **I. Purpose and Scope**

This policy establishes the roles and responsibilities of department heads/chairs and the procedures through which they shall be selected, appointed, and/or reassigned.

### **II. Policy**

1. Department heads and department chairs have duties in department leadership, faculty personnel actions and evaluation, programmatic and budgeting, curriculum development and class scheduling, student affairs, office organization, and communication/interaction with a variety of entities within the university. A more comprehensive list of duties can be viewed at [website](#).
2. A department head/chair represents the department both within the university and with external entities. The head/chair serves as a liaison between the faculty of that department and the dean of the college in which that department resides. S/he may consult with the faculty of that department and represent their recommendations, but may (or in certain cases, must) also add his/her own views, opinions and recommendations in communicating with the dean and with external entities.

### **III. Procedure**

#### **A. Review**

1. Early in the fall semester of the fourth year of the term of the head/chair, the Dean will initiate a comprehensive review of the performance of the head/chair. Evaluation of a general nature – such as degree and quality of judgment, initiative, and competency – may be supplemented by specific criteria relating to the achievement of department goals and objectives.

2. The fourth year review is conducted by the Dean. The Dean will convene faculty in the department or academic unit to review the performance of the Department concerning the head/chair's leadership qualities, professional competency, ethical behavior and working relationships. Roles and responsibilities of the head/chair are posted at website.
3. The Dean may use procedures and instruments to provide for participation of faculty in the review process ~~which may include~~ of the department's tenured and tenure-track faculty, department heads within the college, and appropriate groups. If the head/chair wishes to be considered for reappointment for another term, a secret ballot of the tenured and tenure track faculty in the department indicating renewal or non-renewal will be conducted.
4. After the review is complete, the Dean will discuss the findings of the review committee with the head/chair and provide a written report to the head/chair.
5. After consultation with the Provost, the Dean will make a decision on a renewal term for the department head/chair, and will communicate any actions resulting from the review process to the faculty of the department.
6. An individual whose appointment as department head/chair is not renewed for a subsequent term may not be put forth as a candidate during the process described in III.B.4.

#### B. Selection and Appointment

1. Primary responsibility for the selection of department heads/chairs rests with the Dean of the college in which the department resides.
2. Appointment of a department head/chair may occur either at the end of a term, through reassignment, or through other circumstances.
3. Whenever it becomes necessary to select a department head/chair, the Dean first determines, in consultation with the Provost, whether or not to conduct an external or internal search. Factors involved in this decision include the availability of likely internal candidates, faculty input from the department where the vacancy has occurred, and fiscal constraints.
4. If an internal search is conducted, the faculty of the department will, through a process determined by the college, present a list of acceptable candidates to the Dean. **The selection of acceptable candidates should include a secret ballot of the tenured and tenure-track faculty, indicating the acceptability of each candidate.** The Dean will then, after an appropriate screening process, and in consultation with the Provost, either (a) select one of these candidates, (b) request additional candidates, or (c) conduct an external search. ~~Prior to the selection of an internal candidate, the Dean shall solicit the input of the tenured and tenure track faculty of that department in a secret ballot, indicating the acceptability of that candidate to the voting departmental members.~~

5. If an external search is conducted, the department will select a representative search committee with the concurrence of the Dean. The membership of the search committee will be established in accordance with the university's established policy for position searches. The committee shall establish procedures that provide for participation in the process by the faculty of that department college and other appropriate groups, and shall solicit the input of the tenured and tenure track faculty of that department in a secret ballot, indicating the acceptability of each candidate interviewed. Findings of the committee are transmitted in writing to the Dean for consideration. The Dean will then, in consultation with the Provost, make an appointment.
6. Except in unusual circumstances, a department head/chair should hold tenure in the department.
7. For chairs appointed as a result of an external search, the rank of faculty appointment should be determined by the dean after consultation with faculty of equal or higher rank to that proposed.
8. Appointments are for four-year terms. The number of terms an individual may serve is not limited by this policy.

#### C. Reassignment

Reassignment of a department head/chair prior to the formal four-year evaluation process normally would occur only upon consultation between the head/chair and the Dean.

#### D. Incapacity and Temporary Appointment

In the event of unexpected vacancies caused by untimely resignation, illness, death, or other causes, the Dean will appoint an individual on an acting or interim status. Normally, such an appointment will not exceed one academic year. The Dean will consult with the department faculty and other appropriate individuals in determining whom to appoint.

## **Website - Roles and Responsibilities of the Department Head/Chair**

Academic departments at Western Kentucky University occupy a central place in carrying out the university's teaching, research and service missions. Effective leadership of departments is therefore of critical importance. The head/chair will be responsible for initiating policy discussions within the department and, with the dean's concurrence, for implementation of department policies. Such policies should always be directed toward the accomplishment of university goals. Further, the department head/chair will encourage the faculty to share responsibility both for making departmental decisions and for implementing the results of those decisions.

The roles and responsibilities of the head/chair should be carried out with appropriate faculty consultation, both as provided through formal university policies and departmental governance procedures and also through informal discussions in departmental meetings or through personal interaction.

### I. Academic Leadership

The ability to exhibit leadership is of fundamental importance to a successful head. Four areas in which or through which this leadership is required are: faculty quality; statesmanship; instructional programs; and student affairs.

- A. Faculty Quality
  - a. Participating in the recruitment, employment and orientation of new faculty; including demonstrating a commitment to the affirmative action goals of the university.
  - b. Encouraging and facilitating professional development through activities such as suggesting funding sources, discussing research ideas, and urging attendance at professional meetings and workshops.
  - c. Providing appropriate opportunities for faculty to participate in department affairs.
  - d. Evaluating faculty on a regular and continuing basis in the areas of teaching, research and service with appropriate recommendations for improvement, particularly for untenured faculty.
  - e. Creating a forum through which faculty can express ideas freely, thus promoting productive discussions among the departmental faculty members.
  - f. Making informed documented recommendations concerning faculty retention, promotion, tenure and annual salary increments, the outcomes

of which will be intended to serve the best interest of the department as a whole.

- g. Encouraging university and community service activities appropriate for faculty participation.
- B. Communication and Representing the Department within the University
  - a. Providing a communication link between and among the faculty and the other levels of administration.
  - b. Communicating accurately university and college policy and reasons for policy to the department faculty.
  - c. Acting as an intermediary between faculty and administration.
  - d. Being the spokesperson for and yet the strongest critic of the faculty and the department.
  - e. Representing the department both within the university's administrative and governance structures and externally with professional and community groups.
  - f. Maintaining personal professional competence in order to set a good example for faculty in teaching and research.
  - g. Initiating operational policies within the department for discussion, approval, and implementation.
  - h. Enforcing faculty responsibilities while at the same time protecting faculty rights and privileges.
  - i. Establishing effective working relationships with the non-academic portions of the university in order to facilitate departmental operations and to promote university-wide policies and practices within the department.

C. Instructional Programs

- a. Articulating program-related goals.
- b. Providing leadership for the faculty in developing strong and attractive curricula.
- c. Providing leadership for the faculty in developing methods for assessing the effectiveness of instructional programs.
- d. Providing leadership for the faculty in providing programs that are pedagogically sound and that use available resources maximally.
- e. Encouraging cooperation with other departments, colleges, or institutions whenever this is appropriate.
- f. Encouraging consideration of new program ideas when appropriate.
- g. Managing teaching loads in a fair, flexible, and productive manner.

D. Student Affairs

- a. Insuring that student activities and student organizations receive adequate supervision.
- b. Dealing with student problems that are not the appropriate concerns of the faculty.
- c. Arranging with faculty for academic counseling.
- d. Disseminating information of interest to students.
- e. Responding to student grievances and requests.
- f. Recruiting good undergraduate and graduate students.

II. Administrative Leadership

A successful head must be able to handle the administrative details which make the office function efficiently, professionally, and effectively.

A. Budgetary

- a. Coordinating the preparation of the department budget.
- b. Administering the department budget.
- c. Adhering to the budget management procedures established by the Business Office.
- d. Allocating funds in a manner consistent with the goals of the department.

B. Programmatic

- a. Coordinating the development of long-term planning for the department.
- b. Preparing teaching schedules and assignments.
- c. Maintaining faculty files.
- d. Approving students' degree programs.
- e. Coordinating the use of instructional facilities.
- f. Generating proposals for funds to support the academic programs.

C. Office Organization

- a. Coordinating support staff activities.
- b. Arranging for and assigning departmental space, facilities, and equipment.
- c. Coordinating the reports that go to other offices and service areas.
- d. Implementing administrative policies.
- e. Managing clerical support.



- f. Maintaining an efficient system of records.
- g. Preparing agenda for, convening, and chairing departmental meetings.