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SECTION 1.1 - TITLE 5

Title 5, Division 5 is the portion of the California Code of Regulations that governs the operation of The California State University. Copies are available in the Dean's, Provost's, and Executive Assistant's offices. Access to Title 5 on-line is available at http://www.cde.ca.gov.

SECTION 1.2 - STATE ADMINISTRATIVE MANUAL

"SAM," as it is affectionately known, brings many of the general statements in Title 5 down to an operational level by providing detailed instructions and sample forms for every aspect of system operation that you can possibly imagine and many more that defy the imagination. A copy is kept in the Provost's Office and is available on-line at http://sam.dgs.ca.gov/default.htm.

SECTION 1.3 - THE UNIT 3 C B A (MOU)

The Collective Bargaining Agreement (also called the Memorandum of Understanding) between the Board of Trustees of The California State University and the California Faculty Association is the contract that addresses faculty workload, compensation, grievance procedures, and other rights. Copies of this document are widely available including at http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/2014-2017/.

SECTION 1.4 - OTHER COLLECTIVE BARGAINING UNIT AGREEMENTS

There are parallel contracts that define working conditions and personnel procedures for the clerical and technical staff of our college. Copies of these contracts are kept in the Dean's and Provost's Offices. On-line access to contracts is available at http://www.calstate.edu/LaborRel/Contracts_HTML/contracts.shtml.

SECTION 1.5 - THE CORNERSTONES PROJECT

The Cornerstones Report was drafted by four groups of faculty, campus presidents, members of the Board of Trustees, Vice Chancellors, and Chancellor Munitz. It is a framework of policy goals designed to move the California State University into the next century. The Cornerstones Report begins with four fundamental commitments. We must:

1. continue to provide educational excellence in a teaching-centered, collegiate institution;
2. provide access for the growing and ever more diverse population of Californians seeking higher education in the face of limited public resources;
3. demonstrate our effectiveness to the people of California and to their elected leadership in crafting a new compact with the public we serve; and
design a more responsive post baccalaureate system to meet the demand in California for "liberally educated professionals."

The report also sets forth ten principles:

(1) We will award the baccalaureate primarily on the basis of demonstrated learning. We will state explicitly what a graduate of the California State University is expected to know. We will assure that our graduates possess a certain breadth and depth of knowledge together with a certain level of skills and are exposed to experiences that encourage the development of sound personal values.

(2) Students and their teaching and learning experience are the center of the academic enterprise. We will shape the provision of our academic programs and support services to meet better the diverse needs of our students and our society.

(3) California State University students will be expected to be active partners in the learning process, and the university will provide opportunities for active learning throughout the curriculum.

(4) The California State University will reinvest in its faculty to maintain its primary mission as a teaching-centered, comprehensive university.

(5) We will meet the need for undergraduate education in California through increasing outreach efforts and transfer, retention, and graduation rates, and by providing students a variety of pathways that may reduce the time needed to complete degrees.

(6) Graduate education and continuing education are essential components of the mission of the California State University.

(7) The State of California must develop a new policy framework for higher education finance to assure that the goals of the Master Plan are met. This framework should be the basis for the subsequent development of periodic "compacts" between the State and the institutions of higher education.

(8) The responsibility for maintaining educational excellence, access, diversity, and financial stability shall be shared by the State, the California State University system, the campuses, our faculty, and students.

(9) The California State University will account for its performance in facilitating the development of its students, in serving the communities in which we reside, and in the continued contribution to the California economy and society, through regular assessment of the learning outcomes of its students and through periodic reports to the public regarding our broader performance.

(10) The California State University campuses shall have significant autonomy in developing their own missions, identities, and programs, with institutional flexibility in meeting clearly defined system policy goals.

[Source: Cornerstones Report - August 1997]

SECTION 02 – GOVERNANCE OF THE UNIVERSITY

SECTION 2.1 – MISSION OF HUMBOLDT STATE UNIVERSITY

Humboldt State University is a comprehensive, residential campus of The California State University. We welcome students from California and the world to our campus. We offer them access to affordable, high-quality education that is responsive to the needs of a fast-changing world. We serve them by providing a wide array of programs and activities that promote
understanding of social, economic, and environmental issues. We help individuals prepare to be responsible members of diverse societies.

These programs and the experience of a Humboldt State education serve as a catalyst for lifelong learning and personal development. We strive to create an inclusive environment of free inquiry, in which learning is the highest priority. In this environment, discovery through research, creative endeavors and experience, energizes the educational process.

[2004-2009 HSU Strategic Plan pg. 24]

SECTION 2.2 - THE HSU FACULTY HANDBOOK

The Faculty Handbook is a compilation of university policies and includes a listing of campus committees and their charges and a series of appendices that summarize a wide variety of procedures. On-line access to the Faculty Handbook is available at http://www2.humboldt.edu/aavp/faculty-handbook.

SECTION 2.3 - THE HSU STRATEGIC PLAN

The most recent Strategic Plan (http://www2.humboldt.edu/strategicplan/) for Humboldt State University was published in 2015 and extends to 2020. The Plan was the culmination of nearly two years of campus-wide discussions. It identifies four primary goals have been identified as priorities for the campus over the next five years. These goals are:

**Goal 1:** Prepare students to be socially and environmentally responsible leaders in a diverse and globalized world.

**Goal 2:** Foster meaningful relationships across differences, including diverse cultural communities, identities, and competencies.

**Goal 3:** Strengthen partnership with local communities.

**Goal 4:** Serve as effective stewards of the natural and built environment and the University’s financial resources with a focus on sustainability.

Ultimately, by focusing on the four goals above, Humboldt State University will improve our ability to fulfill our ultimate mission to educate all of our students. Measures of this success will be: improving the four and six-year graduation rates for first-time freshmen, improving the two and four-year graduation rates for transfer students, and reducing the achievement gaps. Performance indicators for these measures are included on the table below are the baseline, action items, and goals for each indicator.

For more information on the HSU Strategic Plan 2014-15, go to www2.humboldt.edu/strategicplan/.
SECTION 3.1 – COLLEGE ACADEMIC DEPARTMENTS

Biological Sciences
Chemistry
Computer Science
Environmental Science and Management
Environmental Resources Engineering
Fisheries Biology
Forestry and Wildland Resources
Geology
Mathematics
Oceanography
Physics and Astronomy
Wildlife

SECTION 3.2 – AUXILIARY UNITS

Additional Information on CNRS Auxiliary Units is found in Section 13 of this Handbook.
California Cooperative Fish and Wildlife Research Unit
Marine Wildlife Care Center (MWCC)
Institute for Redwood Forest Ecology (IRE)
Institute for Spatial Analysis
Schatz Energy Research Center (SERC)
Science & Mathematics Center for Teaching & Learning
Telonicher Marine Laboratory
For more information, go to: http://humboldt.edu/hsuf/Institute%20Index.php.

SECTION 3.3 – SPECIAL INITIATIVES

Additional Information on CNRS Special Initiatives is found in Section 13 of this Handbook.
Institute for Ecological Tourism
Institute for River Ecosystems
Humboldt Marine and Coast Science Institute

SECTION 3.4 – DEGREE PROGRAMS

Biology (BS, MS)
Botany (BS)
Chemistry (BA, BS)
Computer Science (BS)
Environmental Management and Protection (BS)
Environmental Resources Engineering (BS)
Environmental Science (BS)
Environmental Systems (MS)
Fisheries (BS)
Forestry (BS)
Geology (BA, BS)
Mathematics (BA)
Natural Resources (MS)
Oceanography (BS)
Physical Science (BS)
Physics (BA, BS)
Rangeland Resources and Wildland Soils (BS)
Wildlife (BS)
Zoology (BS)

SECTION 3.5 – CERTIFICATES OF STUDY

Bioinformatics (Biological Sciences)
Environmental Education and Interpretation (Environmental Science & Management)
Environmental and Natural Resources Planning (Environmental Science & Management)
Natural Resources Policy & Administration (Environmental Science & Management)
Wildland Fire Management (Forestry and Wildland Resources)

SECTION 3.6 – GRADUATE CERTIFICATES IN COLLEGE TEACHING

Certificate information can be found on the website.

Biology
Mathematics
Environmental Science & Management

Revised: 01 July 2007

SECTION 04 – GOVERNANCE OF THE COLLEGE

SECTION 4.1 – CNRS BYLAWS

Article I Name and Purpose
Section I.1 The name of this organization shall be the Faculty of the College of Natural Resources and Sciences of Humboldt State University, hereinafter referred to as the College
Faculty.

Section I.2 The purpose of the College Faculty shall be to provide for an organization and the means for assuring that the collective knowledge, experience, and judgment possessed by the members shall be as fully utilized as possible in providing students with educational opportunity, in developing college policies and procedures, and in fostering a spirit of unity and cooperation among its members.

ARTICLE II PRINCIPLES

Under the leadership of the Dean, the Associate Deans, and the Department Chairs, the following general principles shall guide the specification and implementation of policies designed to achieve the goals of the College and the governance thereof:

Section II.1 The College Faculty must observe the canons of mutual respect for the unique attributes and integrity of each of the disciplines and professions within the college, and recognition must be given both to the independent prerogatives of each discipline and to the interdependencies among them, requiring a spirit of cooperation in achieving mutual goals.

Section II.2 The work of the College Faculty shall be conducted in an attitude of service to students, to the University, to the broader community, and to the applicable professions.

Section II.3 The consultative process shall be a governing principle of the College.

Section II.4 Active participation in college and departmental governance is an important condition for attaining goals. Faculty accept the responsibility to serve on standing and ad hoc committees and to participate actively in the process of collegial evaluation.

Article III Membership

Section III.1 Membership shall consist of the tenured and probationary college faculty, other full-time college faculty, the Dean and Associate Deans of the College, emeritus and adjunct college faculty, and former tenured college faculty on full or partial retirement. Other individuals may be admitted into membership upon a two-thirds affirmative vote of those College Faculty present at a regular faculty meeting or of those voting in an election.

Section III.2 Any member shall be eligible to vote and to serve on committees, except when prohibited by the provisions of the California Administrative Code (Title 5- Education), University regulations, the Memorandum-of-Understanding, or these bylaws (Article VII- Committees). Only tenured and probationary faculty shall vote for Personnel Committee membership.

ARTICLE IV POWERS AND STRUCTURE

Section IV.1 The College Faculty shall formulate and recommend to the Dean policies affecting matters of common concern, assist in the selection of deans and other administrators of the College, and consider other matters within its jurisdiction.

Section IV.2 All powers of the College Faculty shall reside in the College Faculty.

ARTICLE V MEETINGS OF THE COLLEGE FACULTY

Section V.1 All meetings, except those of the Personnel Committees, shall be open to all members.

Section V.2 The College Faculty shall meet upon the call of the Dean. She or he shall call a meeting within one week when presented with a petition requesting a meeting and bearing the signatures of twenty percent (20%) of the members of the College Faculty.
Section V.3a. The College Faculty shall consider such policy matters as are brought before it. Recommendations on policy matters brought before a meeting called for such a purpose may be amended as desired by a majority of those present at such a meeting prior to submission for a final vote. The final vote on any such matter shall be taken by secret mail ballot of those College Faculty members in residence.

Section V.3b. Ordinary agenda items requiring a vote shall be distributed to the College Faculty at least five days before they are to be considered.

Section V.3c. An emergency meeting may be called by the Dean, provided that a written announcement and agenda are circulated to the College Faculty at least forty-eight hours prior to the meeting. The Dean shall make every attempt to schedule the meeting at a time when the highest number of faculty do not have classes. Action may be taken at such meetings only upon a two-thirds affirmative vote of those present, providing that a quorum of one-fourth of the tenured and probationary College faculty in residence is established. Bylaws may not be amended during an emergency meeting (see IX.1).

Section V.4. Except for emergency meetings, one-third of the total membership of the tenured and probationary College Faculty in residence on full or partial appointment that term shall constitute a quorum.

ARTICLE VI FINANCE

Section VI.1. The College Faculty may vote to receive funds from members. These funds may be distributed for social or other purposes.

ARTICLE VII COMMITTEES

Section VII.1. The College Faculty may establish and terminate committees as deemed necessary.

Section VII.2. Rules for Standing Committees:

Section VII.2a. A resolution establishing any standing committee shall define its function, designate the number of members, their terms, and how they shall be appointed or elected. The essentials of this resolution shall be incorporated into Article VII.4 of these bylaws.

Section VII.2b. Unless otherwise provided in the establishing resolution, each standing committee shall provide for its own organization, elect its own officers, and determine its own method of procedures. The Dean shall initiate the first meeting of each committee by asking the member whose last name is alphabetically first to call that meeting.

Section VII.2c. Terms of office shall commence with the opening of the University for the fall term, with the exception of those of the Personnel Committees, which shall begin in April after the spring election. The Personnel Committees constituted for a given year shall, however, continue to serve until it has completed action on all matters brought before it during the year.

Section VII.2d. If a vacancy occurs on any elected committee, the individual receiving the highest number of votes, but not elected in the previous election, shall fill the vacancy until the next regularly elected committee convenes, provided that he or she is eligible to serve and received a majority of the votes cast in that election. If these conditions are not satisfied, then a special election to fill the interim vacancy shall occur. The term for individuals filling an interim vacancy shall be for less than one year and the sequence of staggered terms shall remain unchanged.

Section VII.2e. To ensure the equity of committee service, an individual should not serve on
more than two college committees simultaneously and should not serve for more than two consecutive terms as a representative of the college on any given committee.

Section VII.2f. Department Chairs shall not serve on college-level committees.

Section VII.3. The Dean shall establish and maintain a log of faculty service on all standing committees of the College.

Section VII.4. The standing committees of the College shall be:

Section VII.4a. Nominations and Elections Committee. This committee shall conduct all of the elections of the College to fill committee vacancies within the limits of III.2, to determine faculty approval or rejection of policy matters that are transmitted to the Dean according to V.3a, and to amend these bylaws. The committee shall periodically review and recommend changes in these bylaws to ensure compliance with the University's Faculty Handbook, University regulations, and the Memorandum of Understanding. The election to fill committee vacancies shall coincide with University elections for officers of the general faculty. Prior to this election the committee shall prepare a slate of candidates for vacancies on all elected standing committees of the college and for all other vacancies for which the college is responsible for naming candidates, and announce the slate of candidates to the College Faculty at least one week prior to the election. In developing a slate of nominees, the committee shall attempt to direct nominations toward individuals who have served infrequently or not at all on the various committees and shall seek to distribute committee candidate positions among the various departments. Within one week of the slate announcement, any member, subject to VII.2f, may have his or her name placed in nomination for any committee vacancy, and any member may withdraw from the slate. Candidates shall be elected by a plurality of votes taken. The candidate with the most votes wins. In case of special elections the committee shall establish procedures and conduct the election. The Chair shall report the results of all elections to the Dean (see VII.1) and the College Faculty within one week of the election and shall submit to the faculty, via the Department Chairs, an annual report of the committee's work by the end of the spring term. The committee shall consist of three elected faculty members (no more than one from any department) serving staggered two-year terms.

Section VII.4b(1). Personnel Committee for Reappointment. The committee shall receive and consider all files, recommendations, and other data pertaining to reappointment of faculty members in the College. The Chair shall submit to the faculty, via the Department Chairs, an annual report of the committee's work by the end of the spring term. The committee shall consist of three elected, tenured, associate or full professors (no more than one from any department) serving staggered two-year terms.

Section VII.4b(2). Personnel Committee for Promotion and Tenure. The committee shall receive and consider all files, recommendations, and other data pertaining to promotion and tenure of faculty members in the College. The Chair shall submit to the faculty, via the Department Chairs, an annual report of the committee's work by the end of the spring term. The committee shall consist of three elected, tenured, full professors (no more than one from any department) serving staggered two-year terms.

Section VII.4c. Curriculum Committee. The committee shall review, evaluate, and make recommendations to the Dean on all curricular matters submitted to it by the departments of the College or by the Dean. The committee shall consist of five elected, tenured or probationary, full-time faculty members (no more than one from any department) serving staggered two-year terms. The Associate Dean and the college representatives to the University Curriculum Committee shall serve as ex-officio (non-voting) members. A maximum of two student (non-voting) members may also serve. No more than one student from any one department may serve at any given time except when sufficient volunteers are lacking. The student members shall be determined annually by lot from volunteers majoring in disciplines within the College.
The Chair shall submit to the faculty, via the Department Chairs, an annual report of the committee’s work and a complete set of minutes to the Dean’s office by the end of the spring term.

Section VII.4d. Council of Department Chairs. The council shall advise the Dean in matters relating to the administration of the College and serve as a means for the Dean to communicate with the faculty. The Chairs have a dual role -- to represent the concerns and needs of their individual departments and to recognize their responsibilities to the College as a whole. The council shall be chaired by the Dean and consist of the Associate Dean and the duly appointed Department Chairs of the College.

ARTICLE VIII POLICY RECOMMENDATIONS

Section VIII.1. Policy recommendations of the College Faculty as determined by V.3a shall be forwarded to the Dean by the Chair of the Nominations and Elections Committee. Reactions of the Dean to such policy recommendations shall be forwarded by mail to all members of the College Faculty within one week of the receipt of the recommendation. In the absence of official communication from the Dean, his or her approval shall be presumed.

ARTICLE IX AMENDMENTS

Section IX.1. These bylaws may be amended by a sixty-percent majority vote of the total membership of the College Faculty voting in a mail ballot election. Such proposed amendments shall be considered policy matters and all the provisions of Article V of these bylaws shall apply, except that emergency procedures may not be invoked.

ARTICLE X INTERPRETATION

Section X.1. The College Faculty shall be the final authority in matters involving the interpretation of these Bylaws.

Endorsed: Council of Chairs [10 March 1992]
Approved: Faculty [20 March 1992]
Amended: Faculty [20 September 1993]
Amended: Faculty [10 March 1995]
Amended: Faculty [03 May 1996]
Amended: Faculty [17 September 2002]
Amended

SECTION 4.2 – COLLEGE COMMITTEES AND REPRESENTATIVES - 2015/16

<table>
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<tr>
<th>COMMITTEE MEMBERS</th>
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<tr>
<td>CNRS Curriculum Committee</td>
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<tr>
<td>Yvonne Everett (ESM)</td>
<td>4188</td>
<td>ye1</td>
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<tr>
<td>Jeffrey Kane (FWR) – committee chair</td>
<td>5622</td>
<td>jk55</td>
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<td>Brian Kyte (Chemistry)</td>
<td>3266</td>
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<tr>
<td>Dale Oliver (MATH)</td>
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<tr>
<td>Patricia Siering (BIOL)</td>
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<td>Rick Zechman – (CNRS Associate Dean) non-voting</td>
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**CNRS Nominations & Elections Committee**

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<td>Brad Ballinger (MATH)</td>
<td>5344</td>
<td>bradley.ballinger</td>
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<tr>
<td>Rafael Cuevas-Uribe (FISH)</td>
<td>4233</td>
<td>Rafael.cuevasuribe</td>
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<tr>
<td>Darren Ward (FISH)</td>
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<td>dw193</td>
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**CNRS Personnel Committee for Reappointment**

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<tr>
<td>John Reiss (BIOL)</td>
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**CNRS Personnel Committee for Promotion & Tenure**

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Vacant

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SECTION 4.3 – THE ROLE & DUTIES OF THE DEPARTMENT CHAIR

The department chair is a key player within the total structure of the administration at Humboldt State University. It is at the level of the department chair that the academic-administrative policy of the University is implemented and where feedback is generated to college and university levels that will determine whether a given policy is continued, modified, or abandoned.

Classification
- You are appointed by and serve at the pleasure of the President of the University.
- Department chairs are not administrators, as defined by the MOU between the CSU and the CFA. You remain a member of the Unit 3 bargaining unit. You do, however, have responsibilities for overseeing day to day operations of the department in your capacity as a “lead.”

College-Level Responsibilities
- Serve as a member of the Council of Department Chairs.
- Implement university and college policy.
- Advise the Dean on matters of college policy and the position that should be taken by the College on issues of major importance to the University.
- Advise the Dean about the appropriate distribution of personnel and other resources among the various programs/departments in the college.
- Advise the Dean about the appropriate priority order for requests for construction projects, equipment purchases, etc., submitted by the Dean.
- Seek and receive approval of proposed departmental policies from the Dean.

Departmental Responsibilities – General
- Present the needs of the department cogently and compellingly to the Dean and other department chairs.
- Implement university, college, and departmental policies and assure necessary consultation with departmental members and/or committees.

Personnel
- Evaluate candidates.
- Recommend appointments of full- and part-time faculty and staff to positions in the department.
- Orient new faculty and staff to the curriculum, programs, and processes of the department.
- Evaluate faculty/staff performance and encourage staff development.
- Recommend retention and promotion of faculty in the department.
- Assign faculty and staff workloads.
- Assist in the resolution of faculty and staff interpersonal relationship problems.
- Become familiar with Affirmative Action guidelines for recruiting faculty and staff and the appropriate sections of the contracts with the various bargaining units.
- Prepare vacancy announcements for faculty and staff positions.
- Prepare and recommend approval of position descriptions and justifications for clerical and technical positions.
- Submit evaluations and recommendations to the Dean of faculty who are being considered for promotion, tenure, post-tenure review, sabbaticals, and leaves.
• Prepare critical evaluations of faculty at times of personnel review (reappointment, tenure, promotion, post-tenure review).
• Provide input into clerical and technical staff evaluations.
• See that the faculty maintain office hours and meet their assigned classes.
• Oversee day to day work of clerical and technical staff.
• Review absences using the PeopleSoft Absence Management tool.

**Instruction/Curriculum**

• Communicate to faculty members (especially new faculty members) the curricular and programmatic goals of the department and the general college/division and university goals, with particular emphasis upon how these affect individual faculty members’ assignments.
• Supervise the instructional program of the department, including preparing class schedules, making teaching assignments, assigning instructors (including seeking agreement to the recording of voluntary overloads requested by faculty), and assigning individual departmental responsibilities beyond teaching to appropriate faculty.
• Initiate and/or recommend proposed changes in departmental curriculum.
• Initiate and/or supervise periodic review of the departmental curriculum.
• Assist the Office of Extended Education in initiating and/or conducting courses and programs consistent with departmental and institutional goals.
• Recommend action to the Dean on student petitions.
• Review the department listing in the university catalog. There are various deadlines for submitting changes.
• Review and recommend approval of new course proposals and course change proposals.
• Check to see that the Master Curriculum File is accurate.
• Recommend approval of course articulations with other campuses.

**Class Schedules**

• Prepare year-long faculty workload reports for each faculty member.
• Review the "Production Schedule" from the Office of Enrollment Management to see that deadlines for building and correcting schedules are met.
• Construct the class schedule for the term.
• Check with other departments to avoid scheduling conflicts.
• Check the Large Class Scheduling Matrix to avoid class conflicts.
• Project part-time faculty needs.

**Student/Community Relations**

• Participate in and/or facilitate the participation of others in departmental and college student recruitment and retention efforts, such as Humboldt Orientation Program and Humboldt Preview.
• Assist directly and indirectly in communicating to prospective and to enrolled students the departmental academic goals, offerings, and requirements.
• Assist in the resolution of faculty/staff and student interpersonal relationship problems.
• Maintain current web pages and promotional material to assist in recruiting new students
• Represent the department in matters of community relations as appropriate.
Student Advising

- Maintain current knowledge of university and departmental regulations, especially general education.
- Carefully review petitions to waive, substitute, and establish equivalencies. Most faculty and students use these terms as synonyms, which they are not. Your signature on a student petition indicates that you have given it careful review.

Faculty/Staff/Student Complaints

- Receive and deal with complaints from students, faculty, and staff.
- Take notes during these sessions. You may need them later. Make certain that you are a neutral observer.
- Attempt to solve problems before they progress to the formal proceedings stage, at which they tend to be complex and lengthy.
- In case all else fails, be familiar with the university grievance procedures as they relate to student complaints against faculty and to the professional conduct of the faculty.

Budget

- Inform the Dean concerning needs for supplies and equipment, as well as other physical and personnel needs of the unit.
- Prepare and administer the department’s annual budget.
- Approve expenditures of operating expense, temporary help money, and any other resources allocated to the department.
- Ensure proper accountability for money, supplies, and equipment entrusted to the department.
- Monitor expenditures during the year to see that you are living within the budget constraints in the various subcategories you established. It is your responsibility to stay within approved budget limits.
- Review the monthly summary of expenditures of funds from various departmental accounts.
- Monitor the communications expenditures (telephone and postage).
- Review and approve all purchase requests.
- Review and approve petty cash requests.
- Review and approve expenditures at Instructional Media, Graphic Services, and the HUB.
- Recommend approval of faculty travel. Remember that it is necessary to show that classes are being covered if faculty are away during regular hours of instruction.
- Review and approve temporary help and work-study student payroll sheets.

Physical Plant

- Review and approve Work Requests, Moving Requests, etc.
- Do not allow any changes to the permanent structure of the facility without coordination with Plant Operations.
- Monitor, with the assistance of technical staff, the state of equipment in the department.
- Suggest Minor Capital Outlay (MCO) projects for renovating and remodeling of facilities.
- Recommend faculty office and other (e.g., research) space assignments to the Dean.
The Department Office
- See that the department office runs efficiently and is open at the required times during the day (0800-1700).
- Work with the department administrative coordinator to see that the department's files are current and well organized, or purged, as appropriate.

The Department Administrative Support Staff
- Much of your success as a department chair rests on a good working relationship with your administrative support staff – Administrative Support Coordinator (ASC), Administrative Support Assistant (ASA), and/or Administrative Analyst/Specialist (AA/S).
- Develop a policy of open communication.
- Let your department administrative support staff know what you are doing, what has happened in the Council of Chairs meetings, what you are working on, and where you are. Something as simple as having administrative support staff open your mail (except perhaps for items marked "Confidential") can save you time and help them to be better informed of college and university matters.
- It is inappropriate for you to ask the department administrative support staff to perform jobs that are those of the Department Chair. The reverse is also undesirable because it is wasteful of University resources.
- Ensure that fee waiver requests conform to the appropriate collective bargaining agreement. Specifically, fee waiver courses shall be job-related or part of the approved Career Development Plan. The course of study for a Career Development Plan will be established by the employee and an appropriate advisor of choice and shall be subject to approval by the appropriate administrator in the Human Resources Office.

Department Faculty Meetings
- Call the meeting and determine its agenda.
- Preside at the meeting.
- Know the basics of parliamentary procedures.
- Have formal minutes taken at faculty meetings.

Some Legal Considerations
- As department chair, it is your responsibility to have knowledge of pertinent state, system, and campus policies and to see that they are carried out. It is recommended that you be especially familiar with the policies that cover student grievances, sexual harassment and assault, and a safe working environment.
- As a lead worker in your department, you can be held legally responsible for your actions.
- It is possible, particularly when you fail to take action or act irresponsibly, that a judgment can be lodged against you personally.
- It may be small comfort, but your legal responsibilities as a department chair are not significantly different from when you were a faculty member -- you just didn't know how vulnerable you were then! Revised: August 2014
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<td>Owens, Kenneth [2000]</td>
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<td>Rizzardi, Mark [1996]</td>
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<tr>
<td><strong>Total</strong></td>
<td>13.0</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Oceanography</th>
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<tbody>
<tr>
<td>Abell, Jeffrey* [2006]</td>
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<tr>
<td>Borgeld, Jeffry [1986]</td>
<td>1.0</td>
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<tr>
<td>Cass, Christine [2011]</td>
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</tr>
<tr>
<td><strong>Total</strong></td>
<td>3.0</td>
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</table>

<table>
<thead>
<tr>
<th>Physics and Astronomy</th>
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</thead>
<tbody>
<tr>
<td>Bliven, Wesley [1999]</td>
<td>1.0</td>
</tr>
<tr>
<td>Hoyle, Charles Jr. [2007]</td>
<td>1.0</td>
</tr>
<tr>
<td>Mola, Monty [2002]</td>
<td>1.0</td>
</tr>
<tr>
<td>Rodriguez Hidalgo, Paola [2015]</td>
<td>1.0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Wildlife Management</th>
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</thead>
<tbody>
<tr>
<td>Barton, Dan [2013]</td>
<td>1.0</td>
</tr>
<tr>
<td>Bean, Tim [2013]</td>
<td>1.0</td>
</tr>
<tr>
<td>Black, Jeff [1998]</td>
<td>1.0</td>
</tr>
<tr>
<td>Brown, Richard [2008]</td>
<td>1.0</td>
</tr>
<tr>
<td>Colwell, Mark [1987]</td>
<td>1.0</td>
</tr>
<tr>
<td>Gunther, Micaela* [2005]</td>
<td>1.0</td>
</tr>
<tr>
<td>Johnson, Matthew [2000]</td>
<td>1.0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>7.0</td>
</tr>
</tbody>
</table>

| CNRS Total                    | 95       |
SECTION 5.2 – GENERATION & EXPENDITURE OF FACULTY POSITIONS

The following example is designed to demonstrate the relationship between weighted teaching units (WTU), course mode and full-time equivalent faculty (FTEF). As Department Chair of Egyptology, you will spend a portion of your faculty allocation (1.00 FTEF) by assigning Professor Petrie to the following courses:

<table>
<thead>
<tr>
<th>Course</th>
<th>SCU</th>
<th>Mode</th>
<th>WTU</th>
<th>FTEF</th>
</tr>
</thead>
<tbody>
<tr>
<td>EGYPT 104</td>
<td>3</td>
<td>C-4</td>
<td>3</td>
<td>0.20</td>
</tr>
<tr>
<td>EGYPT 321</td>
<td>4</td>
<td>C-4/C-16</td>
<td>5</td>
<td>0.33</td>
</tr>
<tr>
<td>EGYPT 415</td>
<td>3</td>
<td>C-4</td>
<td>3</td>
<td>0.20</td>
</tr>
<tr>
<td>EGYPT 485</td>
<td>1</td>
<td>S-36</td>
<td>1</td>
<td>0.07</td>
</tr>
<tr>
<td><strong>Total Teaching</strong></td>
<td>11</td>
<td></td>
<td><strong>12</strong></td>
<td><strong>0.80</strong></td>
</tr>
<tr>
<td><strong>Collateral Duties</strong></td>
<td></td>
<td></td>
<td>3</td>
<td>0.20</td>
</tr>
<tr>
<td><strong>Total Workload</strong></td>
<td></td>
<td></td>
<td><strong>15</strong></td>
<td><strong>1.00</strong></td>
</tr>
</tbody>
</table>

Although course modes are a holdover from the days of formula based funding (the so called Orange Book), they are still used to calculate WTUs. Details on mode descriptions are provided in Section 7.2. One FTEF is equivalent to 15 WTUs. Permanent faculty positions have full teaching loads at 12 WTUs with the remaining 3 WTUs used to give credit for collateral duties such as advising, research and committee service. Full-time lecturers, on the other hand, normally have full teaching loads at 15 WTUs. Note that EGYPT 321 is a mixed mode (C-4/C-16) class because it is a lecture course that has a 3 hour lab with it; Professor Petrie is teaching both the lecture and laboratory section.

SECTION 5.3 – FACULTY WORKLOAD DEFINITION

Primary responsibilities are:

- teaching
- research
- scholarship
- creative activity
- service to the University, profession, and community

Additional professional responsibilities:

- advising students
- participation in campus/system-wide committees
- maintaining office hours
- working collaboratively/productively with colleagues
- participation in traditional academic functions

Instructional responsibilities extend beyond the classroom and include:

- preparation for class
- evaluation of student performance
- syllabus preparation/revision
- review of current literature/research in subject area, including instructional methodology
Research/scholarship/creative activity is essential to effective teaching. Student/collegial mentoring are expected. Faculty members may not normally participate in all activities during each term or year. Faculty shall not be required to teach an excessive number of contact hours, assume an excessive student load, or be assigned an unreasonable workload or schedule.

In assigning workload, consideration shall be given at least to the following factors:

- graduate instruction
- activity classes
- laboratory courses
- supervision
- distance learning
- directed study

Consideration for adjustments in workload shall be given to at least the following:

- preparation for substantive changes in instructional methods
- research
- student teacher supervision
- thesis supervision
- supervision of fieldwork
- service on a university committee

JPS: 28 January 1997 (still current 7/03)
[Source: Article 20 of the CSU/CFA Collective Bargaining Agreement]
7/03: checked for currency with MOU dated 5/14/02 – 6/30/04
7/05: checked for currency with MOU dated 5/14/02 – 6/30/04

SECTION 5.4 – NON-INSTRUCTIONAL WORKLOAD COMPONENTS

1. Assigned Time--Assigned time, sometimes called “release time,” may be given to faculty who take on special tasks that take them out of the classroom.

   a. Departmental or College Assigned Time--Replacement positions are typically not available at the college or department level.

   The categories for departmental/college assigned time are as follows:

   - **Excess enrollment** ("Large lecture") ............................................................... 1-3 WTU
     A student assistant (undergraduate or graduate) or release time may be provided. In estimating excess enrollment WTUs, please keep in mind that final calculations are based on enrollments as of census.

     | Enrollment | WTU |
     |------------|-----|
     | 72 – 95    | 1   |
     | 96 – 120   | 2   |
     | 121+       | 3   |

   - **Course coordination of multiple instructors** ............................................. 0.5-1.5 WTU
Coordination of multiple lab/discussion/quiz sections where one or more of the lab instructors are not the lecture instructor. There is an assumption that the coordination requires weekly meetings and periodic one-on-one discussions.

<table>
<thead>
<tr>
<th># of Instructors</th>
<th>WTU</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0.5</td>
</tr>
<tr>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>3+</td>
<td>1.5</td>
</tr>
</tbody>
</table>

- **New course preparation.** If a faculty member is assigned two courses to teach that they have never taught before, they may be given assigned WTU.

- **Advising** ................................................................. 1 WTU/25 advisees

  A normal advising load (up to 25 students) is credited against the collateral duties below. Advising as assigned time is reserved for faculty with advising loads above 50 students who also have other very large collateral duty commitments.

- **Department Chair** .......................................................... 3-12 WTU
- **Graduate Coordinator** ...................................................... 1-4 WTU
- **Game Pens Supervisor** ..................................................... 7.5 WTU
- **Special Assignment** ......................................................... 0-6 WTU

  *Special assignments must be approved by the Dean in advance.*

**b. University Assigned Time**—Replacement positions are typically available for university-level assigned time related to faculty governance.

The categories for university assigned time (per semester) are as follows:

- **UFPC, Chair** ................................................................. 6.0 WTU
- **UFPC, Member** ............................................................... 3.0 WTU
- **UCC, Chair** ................................................................. 1.5 WTU
- **UCC, Member** .............................................................. 1.5 WTU
- **Faculty President** .......................................................... 3.0 WTU
- **Chair of Academic Senate** .............................................. 6.0 WTU
- **Chair of Faculty Affairs** ................................................ 3.0 WTU
- **Chair of Educational Policies** ........................................ 3.0 WTU
- **Chair of Senate Finance** ............................................... 3.0 WTU
- **Faculty Development Coordinator** .................................. 6.0 WTU

**2. Collateral Duties**—Collateral duties are those activities that contribute to the operation of the University as an institution. This would include committee work, representing the university in the community, participating in the governance of a professional organization, or conducting activities that oversee academic activities. The duties are over and above normal classroom responsibilities. Activities related to maintaining personal professional currency such as reading discipline-specific literature are considered an essential component of teaching and are not appropriate for consideration as collateral duties.
Examples of collateral duty credits:

- **Advising** ................................................................. 1 WTU/25 advisees
- **Funded or focused research or creative activity** .............................. 0-3 WTU
- **New course preparation** ................................................. 2 WTU
- **First-Year Probationary Faculty** ........................................ 3 WTU
  
  *This is used in-lieu of “new course preparation” above and is for one semester only.*

- **Self-study coordinator** .................................................. 1 WTU
- **Other activities** ............................................................ 1 WTU/~15 hrs contact

  Many other activities may be appropriate as collateral duty. WTU credit is
given at the discretion of the department chair using the rough formula above.

- Departmental and college committees
- Outreach/recruitment
- Administering formal class/instructor evaluation instruments (not end-of-the-semester forms)
- Class schedule coordinator
- Curator of a collection
- External development
- Student club advisor

February 1998 – sac

rev March 2000 – sac

**SECTION 5.5 – ASSIGNED TIME**

Assigned time, also sometimes referred to as release time, may be given to faculty who take on special tasks beyond their usual collateral duties for which 3 WTUs are regularly awarded. Replacement positions are typically not available for assigned time at the college or department level. This means when it is approved, it may result in fewer laboratory or discussion sections being offered, with a consequent reduction in SCUs. See "Assigned Time Request Form" for further details.

The categories for which assigned time is available are:

- Code 11 - Excess enrollment
- Code 12 - New preparations
- Code 14 - Course or supervision overload
- Code 15 – Non-Traditional instruction
- Code 16 – In-Service Training for K-12 School Personnel
- Code 17 – Credit by Examination/Evaluation
- Code 18 - Instructional support of graduate students
- Code 21 - Special instructional programs
- Code 22 - Instructional experimentation, Innovation or Instructionally Related Research
- Code 23 - Instruction-related activities
- Code 31 - Advising responsibilities
- Code 32 - Instruction-related committee assignments
- Code 33 - Curricular planning or studies
- Code 34 - Accreditation responsibilities
- Code 35 - Instruction-related facilities planning
- Code 41 – California Faculty Association (CFA) Activities
Assigned time for university-level duties typically results in the department being able to replace the faculty member's time by using WTUs from regular instructional faculty positions set aside for this purpose. The current allocation per semester is shown in Section 5.4 of this Handbook. [Source: OAA, 1 August 2014]

**SECTION 5.6 – STUDENT EVALUATION**

The following are current evaluation guidelines found in Appendix J of the HSU Faculty Handbook and in the agreement between the Board of Trustees and CFA. Guidelines specific to the CNRS are in italics. While every effort is made to keep sections of the CNRS Administrative Handbook current, especially those that deal with personnel matters, the parent documents always have precedence when there is a conflict in wording.

a) All classes (unless exempted) taught by faculty shall be evaluated each semester by students completing a quantitative or a combination of quantitative and qualitative written questionnaire (15.15, 15.17).

1. Candidates shall not be present when evaluations are administered.
2. Evaluations shall be anonymous and identified only by course and/or section. 15.17a
3. Space may be provided on the quantitative form for student comments. 15.17a
4. Summaries of student evaluations shall be prepared by regularly employed staff, not student employees. These shall contain appropriate tabulations and compilations of student comments.
5. Evaluation summaries shall be placed in the Personnel Action File and shall not be available to candidates until after class grades have been submitted.
6. Candidates are encouraged to comment in writing on student evaluations including such information as required course status, grade point distribution, rigor, or course objectives.

b) In addition to classroom evaluations, students may be provided an opportunity to consult with the IUPC. 15.16 All statements submitted outside of the regular classroom evaluation process shall be identified by name before placement in the PAF. 15.17b

c) Low enrollment courses may be exempted from the requirement for student evaluations as specified below (see University Senate Resolution #29-12/13-FAC):

1. Course sections enrolling three or fewer students
2. Thesis courses, comprehensive examination courses, baccalaureate and master's project courses, senior and master's field, applied, and directed research course and independent study courses.

[Sources: Memorandum-of-Understanding, Sections 15.15 and 15.17 and Appendix J, HSU Faculty Handbook, Sections VII(A)2]
Revised: 13/14 due to changes with CBA
Revisions August 2014: CNRS Dean and Council of Department Chairs
The Collective Bargaining Agreement and a College philosophy that encourages faculty development require that temporary faculty employees be evaluated.

Departments should develop written policies, filed with the Dean's Office, for evaluating temporary faculty. The department policy should be distributed to all temporary faculty at the beginning of every assignment (i.e., fall or spring) and should incorporate the following guidelines:

**Minimum Requirement per 2012-14 Faculty Collective Bargaining Agreement**

In all cases, periodic evaluations rate temporary faculty as either satisfactory or unsatisfactory. It is the department's responsibility to define what is required to achieve a satisfactory rating. Satisfactory ratings may include narrative comments including constructive suggestions for development.

All evaluators (department chair, peer review committee, dean) must review and sign the temporary faculty member's personnel action file (PAF).

The following evaluation procedures shall occur annually for temporary faculty appointed for two or more semesters, regardless of a break in service, and at least once during the term of a three-year appointment:

**If Part-Time** the evaluation shall include:
1. Student Evaluations (all classes)
2. Department Chair and/or Dean Evaluation
3. Opportunity for department peer input

**If Full-Time** (30 WTUs), evaluation shall include:
1. Student Evaluations (all classes)
2. Peer Review by committee of tenured faculty (may include FERP)
3. Dean Evaluation

If appointed for **one semester or less**:  
1. Evaluation at discretion of department chair

**EVALUATION REQUIREMENT FOR ISSUANCE OF A THREE-YEAR APPOINTMENT**

Temporary faculty are eligible for consideration of an initial three-year appointment after six years of consecutive service. Temporary faculty currently holding three-year appointments are evaluated in the third year of the appointment for consideration of a subsequent three-year appointment.

The faculty member's cumulative performance for the entire qualifying period (6 years for initial appointment; 3 years for subsequent appointment) shall be evaluated in the year preceding the issuance of any three-year appointment. This evaluation shall include:

1. Student evaluations (all classes)
2. Peer review by committee of tenured faculty (may include FERP)

3. Dean Evaluation

2012-2014 Faculty Collective Bargaining References: 12.12, 12.13, 15.23 – 15.29

A written record of periodic evaluation will be placed in the temporary faculty employee's Personnel Action File. A copy of the evaluation shall be sent to the employee.

Evaluations of full-time temporary faculty with renewable appointments, or those which may be converted to probationary status, should be completed after the fall semester evaluations (and after the faculty member has had an opportunity to review and respond to them), but no later than February 15th to ensure adequate notice to the employee regarding continued employment.

Periodic evaluation of temporary faculty is also a requirement for consideration of step advancement after teaching 24 WTUs and must be completed prior to the ranking process of part-time faculty for continued employment.

[Sources: Memorandum-of-Understanding, Sections 15.21 through 15.24]

Revised: August 1996

Clarification Edit: July 2000

Revisions: 11/01 CNRS Dean and Council of Department Chairs

Revised 11/12 due to changes in the CBA.

SECTION 5.8 – PERIODIC REVIEW OF TENURED FACULTY

The Collective Bargaining Agreement (Section 15.34-15.36) between the California State University and the California Faculty Association requires that tenured faculty members shall be subject to periodic review at intervals of no greater than five years. The purpose of this evaluation is to assist in maintaining and improving the faculty member’s effectiveness.

It is the responsibility of the Dean’s Office to identify those faculty members who are subject to this periodic evaluation.

All Tenured faculty unit employees shall undergo a periodic evaluation at least every five (5) years. Evaluation shall be conducted by a Peer Review Committee in each department consisting of at least three (3) tenured full-time faculty members and may consist of the initiating unit’s personnel committee or a special committee elected for that purpose. The Peer Review Committee shall examine the faculty unit employee’s Working Personnel Action File (WPAF), which includes:

- a list of accomplishments since his/her last evaluation or a current curriculum vitae demonstrating achievements relevant to the criteria for retention, tenure, and promotion, given in the Faculty Handbook, Appendix J, Sections VIII and IX.
- anonymous written evaluations and comments by students from at least two courses per academic year that are representative of teaching faculty’s instructional responsibilities;
- any written student comments identified by name regarding professional performance of the tenured faculty unit employee
- any written comments from faculty and staff who may wish to comment on the performance of the tenured faculty unit employee;
- other written submissions as appropriate for evaluating the teaching, scholarship, and/or service of the tenured faculty unit employee.

It is the responsibility of the Department Chair or Peer Review Committee Chair to post an announcement on appropriate bulletin boards identifying the faculty to be evaluated and soliciting comments from students, faculty, and staff. An opportunity may be provided for students to meet with the Peer Review Committee.
The periodic evaluation of CNRS tenured faculty unit employees shall apply the same Standards for Academic Rank as described in Appendix J, Section X of the Faculty Handbook:

1. The rank of professor is reserved for those associate professors who have earned the highest order of respect and recognition from their colleagues in the university. Professors must be capable of presenting courses in their disciplines at the advanced undergraduate and graduate levels and of directing research or stimulating creative activity at those levels, with the highest degree of competence. Professors must have a strong record of participation and achievement in the combined non-teaching activities, and show promise of continuing growth in these activities. Professors do superior work in their disciplines and possess the appropriate degree or have established equivalence to it or demonstrate rare and exceptional compensating strengths.

2. The rank of associate professor is reserved for those assistant professors who have clearly demonstrated that they are well along the way towards achieving those qualities essential for senior rank. Associate professors must be capable of presenting courses in their disciplines with a high degree of competence, at the advanced undergraduate level. They must have a reasonable record of participation and achievement in the combined non-teaching activities (scholarly/creative activities and service), and show promise of continuing growth in these activities. Associate professors perform at a high level in their disciplines and possess the appropriate terminal degree or have established equivalence to it or demonstrate rare and significant compensating strengths.

3. An assistant professor or an instructor possesses either (1) the terminal degree, other approved terminal preparation or the equivalent; or (2) the master's degree or the equivalent and has the expectation of attaining the appropriate terminal degree or other required preparation, experience, and competence within the time specified in the candidate's letter of appointment. An assistant professor or instructor demonstrates the potential to make substantial achievements in the areas of teaching effectiveness, scholarly and creative activities, service to the university and the profession, and service to the community.

[Source: VPAA 04-02, 4 January 2005]
[Source: Appendix J, Faculty Handbook]

The Peer Review Committee is charged with evaluating the faculty member's effectiveness in all areas of professional responsibility, as defined in the current Collective Bargaining Agreement: 1) teaching effectiveness, 2) scholarship and creative activities, and 3) service to the university, profession, and community. That evaluation shall be based upon: (1) written materials in the faculty member's Personnel Action File in the Dean's Office since the last periodic review; (2) materials that are sent to the committee as a result of its solicitation, including material derived from the open session with students; and (3) a current curriculum vitae submitted by the faculty member. For those faculty with teaching responsibilities, consideration shall include teaching effectiveness, as documented by the required instructor evaluations.

The Peer Review Committee and Department Chair shall prepare a written evaluation. The report shall summarize the faculty member's strengths, identify areas where improvement is expected, and suggest timelines, as appropriate. The faculty member being evaluated shall be provided with a copy of this evaluation and shall sign the evaluation thereby indicating that he or she is aware of its contents. The faculty member shall be permitted to attach a statement. The materials used by the Peer Review Committee and its evaluation shall be sent to the Dean by March 15.

The Dean shall prepare a written evaluation that shall be subject to the same conditions as those observed by the Peer Review Committee and Department Chair.
The evaluations, along with any comments from the faculty member, shall be placed in his/her Personnel Action File.

The faculty member, the Committee Chair, the Department Chair, or the Dean may request a meeting including the faculty member to discuss the results of the evaluation.

The Dean’s written evaluation to the faculty member shall be completed by April 15.

Recommended: CNRS Council of Department Chairs 15 April 99
Approved: CNRS Dean 16 April 99
SECTION 5.9 – CNRS PERSONNEL COMMITTEE PROCEDURES

As a result of vote by the College of Natural Resources and Sciences faculty, the college formed two personnel committees effective AY 2002/03. Membership and responsibilities of the two committees are as follows:

1) Personnel Committee for Reappointment. This committee is made up of three elected members from the college. Each is a tenured faculty member holding the rank of Associate Professor or Professor. The Personnel Committee for Reappointment receives and considers all files, recommendations, and other data pertaining to reappointment of faculty members in the CNRS. The committee chair is elected at the first meeting of the committee each academic year.

2) Personnel Committee for Promotion and Tenure. This committee is made up of three elected members from the college. Each is a tenured faculty member holding the rank of Professor. The Personnel Committee for Promotion and Tenure receives and considers all files, recommendations, and other data pertaining to tenure and/or promotion of faculty members in the CNRS, including range elevation of lecturers. The committee chair is elected at the first meeting of the committee each academic year.

In addition, the Personnel Committee for Promotion and Tenure is charged with reviewing requests from departments for conferral of adjunct and research associate status, and with making recommendations to the Provost and Vice President for Academic Affairs in these cases.

RTP Procedures for both committees are as follows:

Each committee member studies the Working Personnel Action File (WPAF) or Range Elevation Portfolio of the individual under consideration. After all members have had the opportunity to review the file, the committee decides on the action to be taken.

If there is more than one candidate for promotion to the same rank, the candidates may be ranked by the committee, and the rationale for the ranking is given. Candidates who are being considered for reappointment or tenure are not ranked.

Following the review of candidates, a written recommendation signed by all members of the committee is included in the personnel files. The candidates read the recommendation of the committee and sign their names with a declaration of whether they agree or disagree with the committee’s recommendation. At this point the candidates, if they choose, may append comments to the committee recommendation. The complete files are then forwarded to the University Faculty Personnel Committee.

The CNRS Personnel Committees follow the guidelines set forth in the Collective Bargaining Agreement between the California Faculty Association and the California State University and in Appendix J or Appendix K, as applicable, of the Humboldt State University Faculty Handbook.

Revised: December 2002
SECTION 5.10 – HSU POLICY REGARDING APPOINTMENT OF ADJUNCT FACULTY

Persons to be considered for designation as adjunct professor shall be appropriate professional personnel assigned to university-related agencies (such as the Cooperative Fishery Research Unit) attached to the University or other persons volunteering their professional services to the University.

The criteria applied to persons being considered for designation as adjunct professor shall be specified in the Faculty Handbook. The professional qualifications of the candidate for designation shall equal the qualifications expected of a faculty member were one appointed to provide the same service.

The personnel committee of the department where the service is performed shall initiate and substantiate the proposal of a candidate for adjunct professor. The proposal and supporting documents are to be sent to the Dean's Office and forwarded to the chair of the College Personnel Committee for Reappointment. After due consideration and investigation, the committee shall forward the proposal, with its recommendation, to the Provost and Vice President of Academic Affairs, for action.

The designation of individuals as adjunct professor is by action of the President, or designee, on the recommendation of the department and then College Personnel Committee for Reappointment. Adjunct Professor designation carries no rank or emolument though such persons may be given library privileges and access to such facilities as are appropriate. For protection of both parties, a volunteer faculty identification form (HSU Form 800) should be filed each semester for individuals teaching a course(s) as “volunteer employees” during the association. For individuals not involved with teaching courses, a volunteer faculty identification form (HSU Form 800) must be filed annually, at the beginning of each academic year, during the period of association.

Adjunct Professors shall be appointed for a term of five years. The five-year term is renewable upon the recommendation of the department personnel committee and the approval of the College Personnel Committee for Reappointment. Such recommendation is based on the assumption that the candidate remains in the same relationship to the university and provides the same service as when first appointed. Reappointment requests require a current curriculum vita (Senate Resolution, 3/22/88).

Personnel committees and the administration are to consider impacts an adjunct professor appointment would have on campus resources. The Office of Academic Affairs will provide an annual list to college deans in the fall listing adjunct faculty whose five-year appointments will expire during the academic year.

From the Faculty Handbook: Chapter V, Section 502, 1988
Revisions Drafted: November 1997
Revisions July 2000 based on Faculty Handbook, Fall 1998 edition: Chapter V, Section 502

SECTION 5.11 – HSU POLICY REGARDING APPOINTMENT OF FACULTY ASSOCIATES

From time to time persons of distinguished academic preparation or accomplishment may seek, or be sought by the University, to associate temporarily for the purpose of the advancement of learning. Where such association is mutually beneficial and upon the recommendation of the appropriate department(s), acting as a committee-of-the-whole or through its personnel committee, the college dean may designate such persons as “Associate in [the appropriate academic discipline].” Such a designation carries no rank or emolument, though such persons may be given library privileges and access to such facilities as are appropriate.

The recommendation should include specific details relating to the criteria indicated above, including (1) the academic preparation or accomplishments that distinguish the person recommended; (2) the way in which learning and/or scholarship may be advanced by the
association; (3) how it will mutually benefit the parties; (4) and the period of association, with the possibility of reappointment. The college dean will inform the university librarian of the acceptance of such a recommendation.

For protection of both parties, a volunteer faculty identification form (HSU Form 800) must be filed for such individuals teaching a course(s) as “volunteer employees” during the association. For individuals not involved with teaching courses, a volunteer faculty identification form (HSU Form 800) must be filed annually, at the beginning of each academic year, during the period of association.

Endorsed by:
Alfred Guillaume, 30 July 1996
Academic Senate, 28 January 1997
Revisions Drafted: November 1997
Revisions July 2000 based on Faculty Handbook, Fall 1998 edition: Chapter V, Section 503

NOTES:
1) The use of Associates for instructional purposes cannot replace the hiring of tenure track or temporary employees.
2) Associate status is granted for a period of one year. Reappointments must be requested by the department chair.

SECTION 5.12 –HSU POLICY REGARDING APPOINTMENT OF RESEARCH ASSOCIATES

A Research Associate is envisioned as an individual who is a productive researcher and grants-person. He or she would come to HSU with external funding (grants, contracts, etc.) and would be provided with space on the campus. A close, physical working relationship between the Research Associate and departmental faculty, students, and staff is clearly one of the objectives. While the University would provide laboratory space, it would not provide a salary or fringe benefits. The individual, if paid by grants through HSU, would be paid through the Humboldt State University Foundation’s payroll process.

The duties of the Research Associate are to serve as a colleague and as a resource for the department and for others in the college; to conduct research during their residency here; to prepare funding proposals; to be involved in the supervision of graduate student research; to serve as a resource for undergraduates, including lecturing in classes and giving seminars; and to advise students on careers in research, getting into graduate school, and job placement. Any grant or contract proposed would be submitted via the Humboldt State University Sponsored Programs Foundation, would follow the University’s institutional routing procedure, and would have a member of the University’s faculty as a co-investigator.

The benefits that will derive from these individuals include enhancement of the research reputation of the department, college, and university; the likelihood of additional funds for equipment, clerical and technical support, and overhead for the HSU Sponsored Programs Foundation; the financial support of advanced undergraduates and graduate students; and a subjective, but very important, aspect of providing a positive role model.

Suitable office and laboratory space should be provided, as well as telephone and computer hook-up. The Research Associate will require University Library privileges and be permitted to purchase a staff parking permit. He or she must also be eligible to apply for HSU Sponsored Programs Foundation grants (supported by grant income), but only when the research project involves students.

The Research Associate is expected to have a terminal degree or equivalent and to have a record of productive scholarship and successful fundraising. The department personnel committee shall initiate and substantiate the proposal of a candidate for Research Associate. The proposal and the supporting documents will be sent to the College Personnel Committee via the Dean’s Office. After due consideration and investigation, the College Personnel Committee shall forward the proposal, with its recommendation, to the Provost and Vice
President for Academic Affairs. The term of appointment shall be from one to five years and may be renewed.

For the protection of both parties, a volunteer faculty appointment form (HSU Form 800) must be filed each semester for individuals teaching a course(s) as “volunteer employees” during the association. For individuals not involved with teaching courses, a volunteer appointment form (HSU Form 800) must be filed annually, at the beginning of each academic year, during the period of association.

Approved by: Academic Senate, March 1992
Revised: Academic Senate, March 1995
Revisions Drafted: November 1997
Revisions July 2000 based on Faculty Handbook, Fall 1998 edition: Chapter V, Section 504
Revisions July 2003 based on instructions from Faculty Personnel Services regarding the requirements for filing volunteer Appointment Forms (HSU Form #125V)

SECTION 5.13 – NEPOTISM

The CSU Chancellor’s Office has recently revised the CSU policy (HR 2004-18) on nepotism. It states, in part, that all departments in which family members (defined as a close relative including: parent, child, grandparent, grandchild, sibling, uncle, aunt, nephew, niece, first cousin, spouse, registered domestic partner, step-parent, step-child, brother-in-law, sister-in-law, father-in-law, mother-in-law, son-in-law, daughter-in-law, and by guardianship and/or adoption or a person residing in the immediate household except live-in household employees or roomers; relatives of domestic partners shall be treated as relatives of spouses) work in the same department must prepare special written provisions to be reviewed and approved by the Dean. These provisions must include a plan to ensure that personnel matters including evaluation, retention, tenure, promotion, wages, hours and other terms and conditions of employment, will not be decided based on the relationship as an immediate family member. The plan should provide that the chair/director of the department/unit is to review all decisions on personnel matters. In those cases where related employees will be working for the same immediate supervisor, the plan should include steps to be taken to alleviate any pressures toward favoritism that could occur as a result of supervising members of the same immediate family. The chair/director shall be responsible for investigating concerns about conflicts of interest or favoritism involving members of the same immediate family.

The following is an example of a departmental nepotism plan:

1. It is the Department of Egyptology’s policy to evaluate any member of a family unit independently.

2. No Department of Egyptology employee shall vote, make recommendations, write recommendation letters, or in any other way participate or attempt to exert influence directly or indirectly in personnel decisions concerning their immediate family members. “Personnel decisions” include “any personnel matter which may directly affect the selection, appointment, evaluation, retention, tenure, compensation, promotion, termination, other employment status, or interest of an immediate family member,” including “wages, hours, and other terms and conditions of employment” as prescribed in the Revised CSU Nepotism Policy HR 2004-18.

3. If a member of a family unit is Chair of the Department of Egyptology, any personnel review or action taken in reference to any immediate family member must be made by the Department of Egyptology Personnel Committee. Any immediate family member who is a member of the Department of Egyptology Personnel Committee must recuse themselves from this personnel review or action.
4. All personnel decisions concerning immediate family members must be reviewed by the Dean of CNRS to ensure adherence to the requirements of the Revised CSU Nepotism Policy HR 2004-18 and Department of Egyptology Nepotism Plan. The resolution of any complaints or disputes regarding violations of the letter or spirit of this policy shall be the sole responsibility of the Dean of CNRS.

5. Any nepotism issue that arises involving immediate family members that is not explicitly covered in the Department of Egyptology’s Plan shall be handled in accordance with the Revised CSU Nepotism Policy HR 2004-18 or future revisions thereof.
### SECTION 06 – THE STAFF

**SECTION 6.1 – PERMANENT & PROBATIONARY STAFF -2015/16**

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<tr>
<th>All College</th>
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<tr>
<td>David Baston [IST III: 12/12]</td>
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<td>Anthony Desch [ET I: 11/12]</td>
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<td>Lewis McCrígler [ET III: 12/12]</td>
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<td><strong>Cheryl Satter [AA/S: 12/12]</strong></td>
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<td><strong>Liz Weaver [ASC I: 10/12]</strong></td>
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<td><strong>William Weigle [IST III: 12/12]</strong></td>
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<td><strong>Kathleen Dondero [Greenhouse Asst. 12/12]</strong></td>
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<td>Sara Hanna [Web Developer: 10/12]</td>
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<td>Steven Smith [Admin IV: 12/12]</td>
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<td>Julie Tucker [AA/S: 12/12]</td>
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<td>Lorraine Taggart [ASC I: 12/12]</td>
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<td>Rick Zechman [Admin III: 12/12]</td>
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<td><strong>Mary Jo Sweeters [ASC I: 10/12]</strong></td>
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<td><strong>Colin Wingfield [ISA II: 11/12]</strong></td>
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<td><strong>Fisheries Biology</strong></td>
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<td>Katherine Moon [ASC II: 12/12]</td>
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<td><strong>Maurine Nicholson [ASC I: 11/12]</strong></td>
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<td><strong>George Pease [IS: 12/12]</strong></td>
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<td><strong>Craig Kurumada [ASC I: 10/12]</strong></td>
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<td><strong>Physics and Astronomy</strong></td>
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<td>Tyler Hooker [IST II: 12/12]</td>
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<td>Mary Comella [ASC I: 10/12]</td>
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**Mathematics & Computer Science**

| Monika Newman [ASC II: 11/12]                   | 1.00 |
| Craig Kurumada [ASC I: 10/12]                  | 1.00 |

**Environmental Science & Management**

| Danielle Trapkus [ASC I: 10/12]                 | .50  |

**Geology**

| Laurie Marx [ASC I: 10/12]                      | 1.00 |
| Steve Tillinghast [IST II: 11/12]               | 1.00 |
| Colin Wingfield [ISA II: 12/12]                 | .35  |
| **Tyler Hooker [IST II: 12/12]**                | 1.00 |
| **Mary Comella [ASC I: 10/12]**                 | .50  |

**Cooperative Fish & Wildlife Unit**

| 5.5 |

**Envi. Resource Engineering**

| 5.25 |

**Fisheries Biology**

| 1.65 |

**Forestry and Wildland Sciences**

| 2.0  |

**Geology**

| 2.35 |

**Oceanography**

| 2.00 |

**Physics and Astronomy**

| 1.50 |
**Glossary for Staff Positions**

AA/S  Administrative Analyst/Specialist  ASC  Administrative Support Coordinator
Admin  Administrator  ASA  Administrative Support Assistant
ET  Equipment Technician  ISA  Instructional Support Assistant

**SECTION 07 - INSTRUCTION**

**SECTION 7.1 - MASTER CATALOG FILE**

The Master Catalog File is the University's official list of all courses that have been approved as class offerings. It is a more comprehensive list than the one that appears each year in the University catalog. The master file lists the course prefix and number, title, student credit units, C-classification, K-factor, and weighted teaching units.

**SECTION 7.2 - C-CLASSIFICATION DEFINITIONS**

These standards are meant to serve as general guidelines for assigning C-classifications to courses within the University. Why are such standards necessary? The mode or method of
instruction is clearly a pedagogical matter and in an ideal world would be determined purely on pedagogical grounds. But different modes of instruction require different amounts of resources. Laboratories require more resources than lectures and small classes more resources than large classes. The costs of a particular mode of instruction are of concern to the state. They are also of concern to the campus because the resources available to support expensive modes of instruction are limited. To put it bluntly, approving an expensive mode for one class may require denying an expensive mode to another. C-classifications reflect pedagogy (mode of instruction), but they also reflect allocations (amount of resources) and their assignment has an essentially economic purpose. They control costs. It is because they have a controlling effect on allocations that the standards are necessary. The intent of the guidelines is not to control pedagogical decisions, as such, but to control their effect on the allocation of resources.

Some of the criteria expressed in the descriptions below might vary with the unit value of the class. For instance, the number of papers or problem sets appropriate for a C-4 would be different for an one-unit course than for a five-unit course since an instructor would have to teach 12 one-unit courses but only one 12-unit course.

For the purposes of this document, it is assumed that all courses are three-unit courses; adjustments would be necessary for courses of other unit values.

**DESCRIPTIONS AND STANDARDS**

**C-01 Large Lecture**
Conducted primarily as lecture with class dynamics limited to student questions of lecturer. Evaluation includes one to three papers or examinations, including the final examination. Objective and machine-scored examinations are increasingly typical as class size reaches or exceeds the enrollment standard of 46.

Resource implications: Student assistants in preparation and evaluation are justified when class size exceeds 50. Assigned time for faculty may be given for coordination of multiple discussion or laboratory sections associated with the lecture and 3.0 WTUs or a graduate assistant if the enrollment exceeds 120. Meets 1 hour/week for 1 SCU and 1 WTU.

**C-02 Lecture-Discussion**
Conducted as a combination of lecture and discussion. Class dynamics must emphasize responses to questions by instructor and exchanges between and among students, as well as between instructor and students. Evaluation includes at least two in-class papers and one outside paper. Frequent quizzes may be substituted for one in-class paper. Essay examinations and combinations of essay-objective examinations are typical in this lecture format, especially in those classes where the enrollment is well below the standard expected of C-2 courses.

Resource implications: Entire workload associated with preparation and evaluation of assignments is borne by the instructor. Priority for film and OE, for other than duplicating, lower than for C-1. Meets 1 hour/week for 1 SCU and 1 WTU.

**C-03 Lecture-Discussion [Composition-Counseling-Law Case Studies]**
Conducted as a combination lecture-discussion, with special emphasis on composition, on personal counseling by the instructor, or on law case studies as a required part of the course. Evaluation includes at least four in-class exercises (such as papers or examinations) and at least four outside exercises or frequent homework.

Resource implications: Entire workload associated with preparation and evaluation will be borne by the instructor. Priority on claims for film and OE, for other than duplicating, lower than for C-2. Meets 1 hour/week for 1 SCU and 1 WTU.

**C-04 Lecture-Discussion-Quiz-Recitation**
Conducted as a combination (in about equal proportions) of lecture, discussion, and analysis of student work or exercises in the form of problem sets, etc. in which the acquisition and practice of an extensive system of symbolic notation is a required part of the course. Evaluation includes at least three in-class exercises (such as papers, presentations, etc.), together with outside exercises or homework assignments for each class meeting. Essay examinations are typical of this lecture format. This classification is also to be used for discussion-quiz sections offered in conjunction with lecture modes of instruction.

Resource implications: Entire workload associated with preparation and evaluation will be borne by the instructor. Priority claims for film and OE lower than for C-3. Meets 1 hour/week for 1 SCU and 1 WTU.

C-05 Seminar-Recitation
Conducted as a combination of lecture-discussion and of student presentations. Seminars are available only to undergraduate students who have completed upper division work appropriate for advanced study or to seniors majoring in the discipline or a related discipline, or to students admitted to a graduate program. Evaluation is based upon the quality of oral presentations and/or periodic written assignments.

Resource implications: Entire workload associated with preparation and evaluation will be borne by the instructor. Meets 1 hour/week for 1 SCU and 1 WTU.

C-06 Clinical Processes
Conducted as clinical laboratory and designed to include such activities as observation, simulation, and testing. Evaluation is based upon quality of student participation.

Resource implications: Meets 1 hour/week for 1 SCU and 1 WTU.

C-07 Art-Natural Resources-Science Activity
Conducted as an activity, with demonstrations by the instructor and/or displays of material predominating over these activities being carried out by the students; typically offered in association with a C-1 or C-2 lecture. Evaluation based upon quality of student participation, presentation, or quizzes.

Resource implications: Assigned time for coordination available at 0.5 WTU each for each section beyond 2. Meets 2 hours/week for 1 SCU and 1.3 WTUs.

C-13 Applied Techniques Laboratory
Conducted in the laboratory format, emphasizing arithmetic, mathematical, symbolic, photographic, or statistical work. Evaluation based upon completion and quality of assigned activities.

Resource implications: Meets 2 hours/week for 1 SCU and 1.3 WTUs.

C-14 Remedial Instruction
Conducted in laboratory format with supervised sequential student bench work or activity (either individually or in groups of four or fewer) focusing on skill and/or technique development. Evaluation based upon quizzes or laboratory practicum.

Resource implications: meets 2 hours/week for 1 SCU and 1.3 WTUs.

C-15 Applied Techniques Laboratory
Conducted in laboratory format. Supervised bench work or activity focusing on skill and/or technique development, especially those leading to one or more student products or projects. Evaluation based upon laboratory projects or products, notebooks, reports or laboratory practicum.

Resource implication: Assigned time for coordination available at 0.5 WTU each for each section beyond 2. Meets 3 hours/week for 1 SCU and 1.5 WTUs.
C-16 Science-Natural Resources Laboratory
Conducted in laboratory format. Supervised bench work or field investigation focusing on skill and/or technique development from which observations and inferences are to be drawn; group interpretation, evaluation, or critique of results. Introductory remarks limited to 10 minutes per hour. Evaluation based upon laboratory notebooks, reports and/or projects, quizzes or laboratory practicum.

Resource implications: Assigned time for coordination available at 0.5 WTU each for each section beyond 2. Meets for 3 hours/week for 1 SCU and 2 WTUs.

C-17 Off Campus Instruction
Conducted as a demonstration or laboratory for clinical practice in off-campus facilities, but allowed only in those instances where specialized equipment or facilities are not present on the campus itself. Evaluation based upon student participation, quizzes or laboratory practicum.

Resource implications: Meets 3 hours/week for 1 SCU and 2 WTUs.

[Source: ARAC, 14 August 1989] **Note - this Section is incomplete**

SECTION 7.3 – SUPERVISED (S-FACTOR) INSTRUCTION

Supervised or S-factor instruction is defined as a mode in which instruction is offered to students by faculty on an individual basis, rather than as a class or group. There are numerous applications of supervised instruction in our programs, as in Directed Study, Independent Study, Field Problems, and Internships. These courses have been established for students who are capable of and qualified for working on a topic, problem, or line of inquiry on an individual basis. Such courses are not to be offered to groups of enrollees meeting in classes.

Enrollment in S-factor courses is limited to those students who have an adequate background for the kind and level of work to be done and is usually limited to projects in the student's major or minor field. Approval of the supervising faculty member and the respective department chair or program leader is required for such enrollments. Approval is also required by the college dean whenever the course is not part of a degree or credential program and would result in faculty load credit. Please see the Faculty Handbook for additional details.

*With the approval of the departmental chair, faculty may apply up to three (3) WTUs of S-factor courses towards the teaching workload of 12 WTUs.*

The categories of S-factor Instruction are:

**S-25 Independent Study**
This category may be used for any supervision (except certain practice teaching instruction) that requires of the instructor an average of 1.5 hours per week of activity with each individual supervised student. Resource implications: Faculty member and students average 1.5 hours/week for 1 SCU and 0.5 WTU.

**S-36 Independent Study**
This category may be used for any non-restricted supervision that requires of the instructor an average of one hour per week of activity with each supervised student. Resource implications: Faculty member and students average 1 hour/week for 1 SCU and 0.33 WTU.

SECTION 7.4 – ADVERTISING COURSES

The normal places for advertising or announcing classes are the catalog and the class schedule. Notice may be drawn to particular classes that represent a special topic offering or a new or unusual opportunity for students in three ways:
(1) Descriptions in an appropriate appendix or introduction to the class schedule. Faculty seeking notice by this method should submit a proposed text through the department chair/program leader. Limited space may necessitate some restrictions as to scope.

(2) By memorandum or letter to faculty colleagues through the campus mail.

(3) By posting a description on the faculty member’s department or program bulletin board.

[Source: Council of Deans: 2 August 1983]

SECTION 7.5 – REPEATING COURSES

Effective Fall 2009, undergraduate students may repeat up to 16 units with grade forgiveness. With the exception of repeatable courses, undergraduate students may only repeat courses if they earned grades lower than a C. For the first 16 units of repeated courses, the old grades will appear on the student’s transcript, but only the new grades will be used in calculating the student’s GPA. Undergraduate students may repeat a course for grade forgiveness no more than two times and each of these attempts will count toward the 16-unit maximum for repeats. Grade forgiveness will not be allowed for a course for which the original grade was the result of a finding of academic dishonesty. Students may repeat an additional 12 units (beyond the initial 16) with “grades averaged,” where both the original and new grade are included in the calculation of the student’s GPA. Undergraduate students may not repeat more than 28 units of course work. This limit applies only to units completed at Humboldt State University.

Exceptions occur in cases where an academic program on campus specifically designates that a course is repeatable so that the automatic repeat process does not take place. For instance, JMC 327 is set up by the department to be repeatable 4 times. This means that a maximum of 5 attempts of this course will count toward the student’s grade point average.

Students should submit a petition to the Office of the Registrar, SBS 133, if special circumstances are involved. Repeating a Humboldt State course that was previously taken at another college may require permission from the university department offering an equivalent course (if the equivalency has not been established by an articulation agreement). Additionally, the department chair must sign a Student Petition, if applicable, which is available from the Office of the Registrar. In order to override the Humboldt State automatic repeat policy, the student needs approval of the department chair on a Student Petition.

The grades of I, NC, RP, RD, W, WC are not considered as attempts for grade point average computation. Contact the Office of the Registrar, SBS 133, regarding courses taken prior to fall semester 1996. Please note: Some universities calculate all attempts of every course and ignore the undergraduate grade point average provided by Humboldt State for post-baccalaureate programs (e.g. graduate level programs, law school, medical schools).

Students who are pursuing a second bachelor’s degree or who are unclassified post-baccalaureate students are eligible to use the undergraduate repeat policy. Students should submit a petition to the Office of the Registrar, SBS 133.

Graduate students may repeat courses; however, all grades will appear on the permanent record and count in the grade point average. The units earned toward the degree count only once.

Note: A student may not take a course at Humboldt State, repeat it at another college, and then use the repeat policy to remove the Humboldt State course from the grade point average.

SECTION 7.6 – ADDING COURSES AFTER CENSUS DATE

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Students who have been attending class and completing course requirements on the erroneous assumption that they were enrolled, but who do not meet the conditions below, will be permitted to complete the course requirements and add the course the following term, if the appropriate faculty and department chair approve. Approval to add a course after the census date will be granted only if there is verification that the course is necessary for the student to graduate at the end of the current term. Requests to add a course submitted after the census date must be approved by the appropriate department chair/program leader and the college dean.

[Source: Council of Deans: 7 March 1983]

SECTION 7.7 – STUDENT ADVISING PROGRAM

Notice to Students and Faculty
Advising in the College of Natural Resources and Sciences is not limited to the period of time associated with pre-registration for the coming semester, although it is recognized that it may be more intense during that time. Students will be encouraged to see their faculty advisors during regularly scheduled office hours or to make arrangements for other times as needed. A sign-up sheet on each academic advisor's door will be used as a way of distributing the workload over a longer period of time and as a way of reducing or preventing a last minute rush of students who need advising. Although the Office of Enrollment Management notifies the student of the name of his or her advisor, a roster is maintained in each departmental office.

Control of Registration Materials
Registration materials will be distributed within the department employing one of several alternatives to make certain that the student has indeed met with his or her academic advisor.

Access and Maintenance of Current Student Files
Student files will be maintained in department offices. They will be treated as confidential documents in that access to them will be limited to the faculty, to the Department Administrative Analyst/Specialist and/or Administrative Support Coordinator, and to approved, part-time Administrative Support Assistants. Students, upon showing proper identification, may see their file, but they may not remove it from the office.

Typically, the student's advising file will contain those reports issued by the Office for Enrollment Management (advanced standing, grade reports, etc.), academic advising plan, letters of recommendation and other correspondence relating to the student, together with other miscellaneous notes prepared by the advisor. Official materials will be filed in as timely a fashion as workload and staffing permit. Student files will be maintained in the department office so long as they are active. Once the Office of Enrollment Management notifies the department Administrative Support Coordinator that a student has graduated, has withdrawn, or has been disqualified, his or her file will be placed in an archive for a minimum of five years and then destroyed.

Sufficient Availability of Informed Advisors
It is the responsibility of each Department Chair to maintain a list of informed advisors who are available each semester and to make adjustments because of leaves and sabbaticals.

SECTION 7.8 – COURSE SYLLABI

A syllabus is required for every course. Copies are to be distributed to the class by the first class period, and one copy is to be given to the ASC for the departmental files, and open for review by prospective students. An electronic copy is to be filed in the Dean’s Office via CNRS Course Syllabi by census every semester.
A syllabus helps enable students to better understand and fulfill their responsibilities as learners in a course. It is a necessary tool in higher education to enable students to take part in the learning process through knowing what is expected of them and what they can expect from the course. Student success may be enhanced when students know in advance as much as possible about the course requirements so that they can plan their study time and coordinate work on assignments from multiple courses. In addition, student success may be aided by encouraging students to contact their professors, by providing information about key University policies to which they are subject, and by presenting information in a format that is accessible to all students.

A. General Syllabus procedures

1. Each member of the faculty at Humboldt State University shall provide a syllabus to each student in every course with a C-classification. This syllabus must be available to students no later than the first class meeting. Faculty are encouraged to post syllabi online in a format that is accessible to individuals with disabilities; as of Fall of 2012, all faculty will be required to provide all syllabi and other class materials in a format that is accessible to individuals with disabilities. Assistance in learning how to create accessible documents is available through the Accessible Technology Initiative website.

2. The faculty member shall provide an electronic and/or hard copy of the syllabus to the department office for department files.

3. The syllabus is an agreement to provide certain classroom experiences to students. While it may be changed as the semester develops, any changes must be communicated to the students appropriately in advance, preferably in writing. Changes to the syllabus are not allowed after the semester ends.

4. Course syllabi for courses listed for both undergraduate and graduate credit must be different. The general expectation is that a student receiving graduate credit should be required to perform at a higher level than an undergraduate student. As such, the graduate syllabi should reflect specific learning outcomes appropriate for graduate level students.

5. Information about these requirements shall be incorporated into new faculty orientation and added to the faculty, administrative, and Department Chair handbooks. Informing faculty of this policy will be a responsibility of department chairs; the Office of Academic Affairs will remind Deans and Department chairs of this policy before the start of each semester.

6. All new course/curricular proposals and program reviews shall explicitly discuss the accessibility of syllabi for individuals with disabilities. As part of the program review process, all departments and programs will be required to provide evidence of the department’s compliance with this policy. Information about the Syllabus policies will be appended to all Program Review policies.

B. Each syllabus shall include, at a minimum, the following items.

1) Basic information:
   - Course title, number, and section; days and times taught, location of class
   - Semester and year course is being taught
   - Professor’s name, office number and location
   - Professor’s contact information: including office phone and email address
   - Identification of any University Curricular Requirement (Institutions, DCG, Specific Area of GE, etc.) that the course fulfills
2) Office hours and days
- Include a statement if additional time is available by appointment.
- If the professor’s schedule contains too many TBA activities to make scheduling office hours possible prior to the first class meeting, this section of the syllabus should have a blank space to be filled in by students.
- Professors will announce their office hours to the class as soon as regular times are established.

3) Course or section information
- Description of the course from the University Catalog augmented by section-specific description.
- Description of the format of the course – lecture, lab, activity, discussion, etc.
- Pre- and co-requisites
- If relevant, the minimum grade needed for this course to count towards the major
- Required and recommended texts, readers, or other reading materials
- If relevant, the process by which students complete forms to participate in fieldtrips
- Any other necessary equipment/materials/fees

4) Student learning outcomes for the course
- Include, as appropriate, GE area Objectives and student learning outcomes, Departmental and University student learning outcomes.

5) Course requirements
- Papers, projects, exams, quizzes, homework, laboratory work, fieldwork, fieldtrips, class participation, etc.
- Statement about the expected time that students will need to spend studying/doing coursework outside of class.

6) Course calendar
- Include fieldtrip dates, assignment due dates, exam dates, and date of final exam.

7) Grading information
- A statement of how you will determine the letter grades for the course, including +/- grades if you use them.
- Extra credit options, if available
- List of the percentage weight assigned to various class assignments
- Policies on late or missed work, including exams
- Policies on attendance, tardiness, and class participation, including an explicit statement of terms and/or penalties which pertain to student participation in co- and extracurricular activities

8) Academic Integrity Statement
   Include specific information relevant to your course, as well as information about whether collaboration is allowed and in what form. (See section C.6 for suggested language.)

9) Statement about services available for students with disabilities. (See section C.6 for suggested language.)
10) Reminder that the student is responsible for knowing the University policy, procedures, and schedule for dropping or adding classes. (See section C.6 for suggested language.)

11) Mention of the evacuation plan for the classroom as noted on the orange signs posted in every classroom, and a web-site address for information on campus Emergency Procedures. (see section C.6 for suggested language.)

C. Additional Suggestions/Best Practices

For clarity and completeness of syllabi, faculty may consider adding some or all of the following elements garnered from samples of faculty syllabi from across all Colleges at HSU.

1) With regard to the course calendar (section B.6 above), faculty may want to include a “subject to change with fair notice” statement

2) With regard to grading information (section B.7 above), faculty should note that for almost all courses, multiple graded components are expected.

3) For courses that include group work, section B.7 might include information specifically about how group work will be graded.

4) A statement about circumstances and procedures leading to a grade of “Incomplete” may be included.

5) Include a section on “tips for success and classroom conduct” that might include information/commentary on:
   - recommendations for study groups
   - how to access to tutorial help
   - classroom conduct.

SECTION 7.9 – OFFICE HOURS

All faculty are expected to schedule office hours and to keep those hours as scheduled. Office hours are to be posted on the door of the faculty member’s office. Office hours are to be scheduled at reasonable times of the day, for a minimum of five hours each week over at least four days of the week during the regular semester. Faculty members are to be available, on a reasonable basis, for appointments outside their regularly announced office hours. Individual departments may require additional posted hours. Justifiable exceptions (intern supervisors, part-time instructors, and summer sessions) are to be worked out with the department chair and approved by the Dean.

SECTION 7.10 – ANNUAL COURSE AND WORKLOAD PLANNING

In order to facilitate College-wide budgetary planning departments submit their annual proposed course offerings to the Dean’s Office by the first Monday in February during the spring semester. The annual plan includes the summer session for the current academic year and the curriculum for the next academic year (fall and spring). This annual course plan includes a listing of each course by section (including all anticipated laboratory sections and all anticipated
Special Topics [480] courses) along with the names of permanent faculty who will teach those courses. Temporary faculty names should be included along with their courses when that information is known. No changes should be made to these schedules without notifying the Dean’s Office.

In conjunction with the annual course plan, departments submit the anticipated workload reports for permanent and temporary faculty (including teaching assistants and associates) for the summer session and separately for the academic year fall and spring semesters.

Course planning reports and workload reports should be submitted electronically to the Dean’s Office on the standard forms (Excel spreadsheets) available from the Dean’s Office.

SECTION 08 – THE CURRICULUM

SECTION 8.1 – THE LONG RANGE PLANNING DOCUMENT

This document sets forth a basis for academic program planning for conditions under which the University does not have sufficient resources to support all programs it would like to offer in the way that it would like to offer them. Accordingly, the planning policy that follows assigns priorities and support levels to programs-- as distinguished from departments or disciplines-- with the highest priority accorded those that are most central to the goals and mission of the University. Identification of curricular programs and their status with respect to priority:

Priority 1. Undergraduate majors deemed central to the goals and mission of the University by reason of being the foundation of the strength of the University or additionally mandated for HSU.

Priority 1. Undergraduate general education program.

Priority 1. Undergraduate programs that are central to the goals and mission of the University by reason of enabling the University to meet an obligation to foster affirmative action.

Priority 1. Undergraduate service: courses or course sequences that are required for completion of other majors offered by the University.

Priority 1. Programs for meeting statutory requirements for study of United States history, constitution, and American ideals.

Priority 2. Undergraduate majors not among those deemed central to the goals and mission of the University.

Priority 3. Graduate majors associated with disciplines in turn associated with undergraduate majors deemed central (both foundation and mandated) to the goals and mission of the University.

Priority 4. Graduate majors associated with disciplines in turn associated with undergraduate majors not deemed central to the goals and mission of the University.

Priority 5. Undergraduate electives offered by disciplines associated with the central (foundation and mandated) majors.

Priority 6. Undergraduate electives offered by disciplines associated with non-major areas majors and by other programs not associated with majors.

Priority 7. Graduate electives offered by disciplines associated with central area programs.

Priority 8. Graduate electives offered by disciplines associated with non-central programs.

Priority 9. Programs new, greatly altered, or that otherwise may require modification of categories, appendices, or priority assignment or order. Priority to be determined by the Provost and Vice President for Academic Affairs.
SECTION 8.2 – MINIMUM ESSENTIAL PROGRAM

Minimum essential program descriptions provide definitions and limits intended to implement principles of the Long Range Plan for Determining Priorities and Support Levels for Academic Programs. This is a means for insuring essential support of programs in the light of University mission and goals.

1. A department's minimum essential program is the aggregate of the minimum essential curricular programs in which the department participates.

2. Minimum essential curricular programs are defined as the basic program that allows a student access and the opportunity to complete a program within a reasonable time. A reasonable time for an undergraduate—exclusive of prerequisites taken outside of the major discipline—is presumed to be two years (maximum units allowed = 60). Essential courses shall be offered every year (maximum allowed = 20). Necessary courses shall be offered with sufficient frequency to enable the student to complete unit requirements within two years. Reasonable time for completion of the graduate major is two years (maximum units allowed = 45; maximum graduate units = 23). To allow reasonable access, service courses, general education courses, courses to satisfy statutory requirements shall be offered at least once a year or as often as justified by enrollment.

3. Calculation of minimum essential levels for specific curricular programs recognizes mode of instruction, but limits allowable levels of specialization.

No options are allowed for undergraduate majors judged central to the goals and mission of the University. Where options are currently essential features of such programs, calculation of a minimum essential program will necessitate a hypothetical revision of the major. Options are allowed for undergraduate majors not judged central to the goals and mission of the University only insofar as they are required for licensure or credentials and achieve economy of scale.

8.3 – CNRS POLICY ON PROGRAM SUSPENSION

The Initial Phase of the HSU Procedures for Suspension of Academic Programs* may be initiated at any time if:

1. for the preceding seven years, the degree program (B.A. and/or B.S.) has a mean enrollment of fewer than 10 students in one-third or more of the undergraduate courses provided by the program. Means are based on the number of offerings for the course.

OR,

2. for the preceding seven years, the degree program (B.A. and/or B.S.) yields fewer than 35 total graduates.

It is the intent of this policy that departments not be exposed to the Initial Phase of the HSU Procedures for Suspension of Academic Programs more than one-time during the seven-year program review cycle.

In order to monitor student subscription to program majors, minors, options (or emphasis area) in each department, and minimize the need for program reviews outside the normal seven-year cycle, enrollment matrices (e.g., Tables 1-3) for each undergraduate degree (B.S., B.A.), minor, option (or emphasis area) shall be included with the departmental self-study reports as part of the normal 7-year program review cycle.
Table 1. An example of an enrollment matrix for core courses and electives required for the B.S. degree (excluding courses only required for the B.A., minor, or options). A similar matrix for the B.A. degree would reflect only those courses not required for the B.S.

<table>
<thead>
<tr>
<th>DEGREE</th>
<th>COURSE</th>
<th>ENROLL</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>BS</td>
<td>PREFIX/NO.</td>
<td>F '97</td>
<td>S '98</td>
</tr>
<tr>
<td></td>
<td>ABC 113</td>
<td>18</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>ABC 311</td>
<td>54</td>
<td>54</td>
</tr>
<tr>
<td></td>
<td>ABC 312</td>
<td>3</td>
<td>7</td>
</tr>
<tr>
<td></td>
<td>ABC 313</td>
<td>7</td>
<td>9</td>
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<tr>
<td></td>
<td>ABC 314</td>
<td>6</td>
<td>4</td>
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<td>7</td>
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<td></td>
<td>ABC 316</td>
<td>9</td>
<td>3</td>
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<td>ABC 411</td>
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<tr>
<td></td>
<td>ABC 412</td>
<td>6</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>ABC 413</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>ABC 414</td>
<td>3</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>ABC 415</td>
<td>3</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>ABC 416</td>
<td>5</td>
<td>4</td>
</tr>
</tbody>
</table>
Table 2. An example of an enrollment matrix for courses required for an option (or emphasis area) but excluding those courses required for the major. Additional options (or areas of emphasis) would list only courses not listed in the matrix of another option.

<table>
<thead>
<tr>
<th>DEGREE</th>
<th>COURSE</th>
<th>ENROLL</th>
</tr>
</thead>
<tbody>
<tr>
<td>OPTION I</td>
<td>PREFIX/NO.</td>
<td>F '97</td>
</tr>
<tr>
<td>ABC 120</td>
<td>12</td>
<td>13</td>
</tr>
<tr>
<td>ABC 317</td>
<td>10</td>
<td>11</td>
</tr>
<tr>
<td>ABC 318</td>
<td>11</td>
<td>10</td>
</tr>
<tr>
<td>ABC 417</td>
<td>10</td>
<td>9</td>
</tr>
</tbody>
</table>

Table 3. An example of an enrollment matrix for courses required only for the minor.

<table>
<thead>
<tr>
<th>DEGREE</th>
<th>COURSE</th>
<th>ENROLL</th>
</tr>
</thead>
<tbody>
<tr>
<td>MINOR</td>
<td>PREFIX/NO.</td>
<td>F '97</td>
</tr>
<tr>
<td>ABC 121</td>
<td>6</td>
<td>5</td>
</tr>
<tr>
<td>ABC 420</td>
<td>5</td>
<td>5</td>
</tr>
</tbody>
</table>

* For a copy of the HSU Procedures for Suspension of Academic Programs and the HSU Procedures for Discontinuance of Academic Programs, see the Academic Programs and Undergraduate/Graduate Studies' website at http://www.humboldt.edu/academicprograms/curriculum_guidelines.html

Recommended by CNRS Curriculum Committee 2/6/03
Adopted by CNRS Council of Department Chairs 4/3/03

**SECTION 8.4 – PROGRAM REVIEW, EVALUATION, AND PLANNING (PREP)**

Program Review, Evaluation & Planning
The primary purpose of program review, evaluation, and planning is to strengthen the quality of academic programs through evidence-based decision-making and reflective planning to foster student success. Moreover, a periodic formal review of all degree programs is required by the California State University Board of Trustees, and various accrediting bodies, including the Western Association of Schools and Colleges.

Foundational Assumptions
Program review, evaluation, and planning is best accomplished within a model of continuous improvement. Ongoing assessment of program outcomes, viability, and curriculum form the basis for short- and long-term planning. Faculty participation in ongoing program evaluation is central to program improvement. Thus, participation should be an integral part of faculty workload, rather than an additional expectation to an already overfull set of expectations for faculty.
Transparency within and among academic units will better inform coordinated planning. Thus, all program review, evaluation, and planning artifacts will be available to the academic community on a common information management system.

The full process proposed here applies to degree (bachelors and masters) and credential programs. **Customization of this process will be made by the appropriate Dean’s Office for professionally accredited programs.**

**Annual and Periodic Review**

**EVERY YEAR**

**Discussions and Reports**

*September:* Assessment  
*October:* Enrollment and Efficiency (IRP)  
*November:* Diversity and Inclusive Excellence  
*January:* PREP Update and Resource Request  
*May:* Department Activity

**Meetings**

*Fall:* Community Meetings on diversity (with D&I office) or assessment (with assessment coordinator)  
*Spring:* Department and Dean to review PREP Update and Resource Request

**EVERY N YEARS, N = 5 FOR MOST PROGRAMS**

*January:* PREP Document and Resource Request  
  I. Mission, Goals, and Programs (1-2 pages)  
  II. Enrollment and Efficiency (1-2 pages)  
  III. Assessment (1-2 pages)  
  IV. Diversity and Inclusive Excellence (1-2 pages)  
  V. Strength and Challenges (1-3 pages)  
  VI. 5-year Action plan (2-3 pages)

*February:* External Review  
*March:* Dean and Department develop an MOU for action  
*April:* Comments regarding 5-year plan and MOU from ICC and Provost to Deans and Departments  
*May:* If necessary, Department and Dean. Amend MOU and/or 5-year plan.

**Getting Started – Guiding Documents**

The PREP process begins with the 2011-2012 academic year. The following guiding documents, each of which already exists in one form or another, should be uploaded into the common information management system for each academic degree program by Sept. 1, 2011. The college associate deans will review all guiding documents, and provide feedback by Sept. 30, 2011. **Note: Programs housed in the same department may have identical guiding documents.**

1. Departmental mission and goals; student learning outcomes
   
   The basic information is contained in the “Departmental Reports” of Program Prioritization that were submitted in fall of 2008. Programs may cut and paste from this document or update, as appropriate.

2. Diversity and Inclusive Excellence Plan
Each department has a document which outlines the two best practices to be implemented and tracked over a 3-year period. In addition, if programs have planning documents regarding improving graduation rates and closing achievement gaps, these should be included here.

3. Program Assessment Plan

Each academic program (bachelors, masters, credential) should have an assessment plan that allows for all key features of the program to be assessed within a periodic review cycle (for most programs, this means every 5 years). Departments likely developed assessment plans for their programs in their “orange binder.” These existing plans may need to be updated and expanded, as appropriate, to include the following:

Part 1: Assessing Student Learning Outcomes
Central to the assessment plan is an evenly-distributed assessment schedule of student learning outcomes. Data on student learning in the program should be collected and analyzed annually.

Part 2: Other Program Assessments
Additional program assessments may address key program features including, but not limited to:
- Academic Advising
- Supplemental Instruction
- Courses with large service components or other purposes
- Graduate School and/or Employment placements

4. Program Plan

For programs reviewed in 2009-2010 or 2010-2011, the program review summary (item9) and the MOU created with the Dean’s office should be included here. For all other programs, the most recent 5-year plan which was submitted with the most recent request for tenure-track positions should be included here. In the long term, the program plan guiding document is the 5-year action plan and the MOU from the most recent periodic review.

PREP Components

Note: The PREP components described below were selected to combine the annual reporting already required for programs with the periodic program reviews of the past. All reports and responses are uploaded by program leaders or administrative coordinators to the information management system, where they are reviewed by the Dean’s office and by other relevant administrators (e.g., The HSU Assessment Coordinator).

Report Templates: Templates for program responses for Assessment and Diversity are similar to those which were submitted in the fall of 2010. Templates for each remaining component will be developed during the summer of 2011. Programs housed in the same department may submit identical responses for some of the components, as appropriate.

EVERY YEAR BETWEEN PERIODIC REVIEWS

SEPTEMBER: ASSESSMENT REPORT

Faculty review, discuss, and evaluate the assessment data and related activities from the prior academic year. The annual report contains two parts: 1) A summary of the evidence collected during the prior year on student learning (through assessment of student learning outcomes) and on program effectiveness (through other assessment methods that may not be done annually, such as exit interviews, alumni
surveys, advising surveys, and the like), faculty interpretation of the evidence, and implications for program planning; and 2) An outline of assessment activities that will be completed during the current academic year. The text of the report (not including the tables and/or graphs used to present data) is limited to 2 pages.

**OCTOBER: DATA UPLOAD FROM IRP**
The Office of Institutional Research and Planning is developing new program data sheets so that programs may conduct an annual review of relevant data. These program data sheets, including the information listed below, will include historical data for comparisons within the program.

- **Enrollment** (disaggregated by gender and ethnicity): FTES by applicable course code(s), FTES generated by program code, major headcount, number of graduates, course enrollments
- **Retention** (disaggregated by gender and ethnicity): Graduate rates for FTF and transfer students; student migration data into the program and out from the program, courses with high failure rates.
- **Investments** Faculty and staff FTEF (by type, gender, and ethnicity); release-time report; cost-center reports which include expenditures for TT Faculty, Temp Faculty, Staff, and OE; a summary of Departmental/Program trust fund activity.
- **Efficiency** SFR by course code and by department; cost per FTES by course code; average class size (lower division, upper division, and graduate).

Programs may elect to comment on aspects of this data. Commentary is limited to 1 page.

**NOVEMBER: DIVERSITY AND INCLUSION REPORT**
Programs summarize the implementation of their diversity plan during the prior year (1 page). Program faculty meet to examine trends in the disaggregated enrollment and retention data, discuss departmental efforts to diversify faculty and staff, discuss overall campus progress on diversity as reported in the HSU’s annual diversity report, and decide if the examined evidence requires any modification to the departmental diversity plans. If appropriate, modifications are made to the program’s guiding document on diversity.

**FALL: OPPORTUNITIES FOR INTER-DEPARTMENTAL DISCUSSION**
Every fall the Office of the Vice Provost organizes faculty conversations on critical campus themes, including assessment, diversity and inclusion, and retention. Ideally, the conversations are organized to bring together as many faculty as possible from three or four academic programs to share ideas and insights in an informal setting.

**JANUARY: PREP DOCUMENT UPDATE AND RESOURCE REQUEST**
A 1-3-page update on program planning includes the following elements:

- A summary of any program changes (curriculum, faculty, staff, facilities) over the past year
- A report on progress on the five-year plan and MOU (if available)
- A discussion of opportunities and obstacles that have affected this progress.
- If necessary, a discussion of strategies for overcoming the identified obstacles.

If appropriate, an addenda is written to the program’s 5-year action plan

After completing the PREP Update, department faculty identify resource needs that are required to preserve or enhance the quality of their program for the next academic year (and perhaps for the long-term). Requests to the Dean (1 – 2 pages) may be made to either reallocate funds within a program or department, or to provide new allocations. Requests may include new faculty, staff, IT or library services, equipment, facilities, or other operating expenses.
SPRING: DEAN’S REVIEW
The College Dean’s Office or the Academic Programs and Undergraduate/Graduate Studies Office provides feedback in writing or in person to the program faculty based on the PREP process completed in January.

MAY: DEPARTMENTAL ACTIVITY REPORT
The program provides a summary of activities in the department or program from the academic year that are important to realizing its mission and goals, and/or relevant to program planning, but not reported elsewhere in the PREP process. The report may include such items as student accomplishments, faculty scholarship, grants, and contracts, professional events, and community outreach. The text is limited to 2 pages.

IN THE YEAR OF PERIODIC REVIEW
SEPTEMBER: ASSESSMENT REPORT See “Every Year”
OCTOBER: DATA UPLOAD FROM IRP See “Every Year”
NOVEMBER: DIVERSITY AND INCLUSION REPORT See “Every Year”

FALL: INTER-DEPARTMENTAL DISCUSSION
Every fall the Office of the Vice Provost organizes faculty conversations on the central campus themes, including assessment, diversity and inclusion, and retention. Ideally, the conversations are organized to bring together as many faculty as possible from three or four academic programs to share ideas and insights in an informal setting. Departments undergoing Periodic Review will find participation in these discussions to be especially valuable.

JANUARY: PREP DOCUMENT AND RESOURCE REQUEST
Note that the period review evaluates the evidence contained in the annual PREP process. The first five sections inform the sixth and most important section: The 5-year action plan.

I. Mission, Goals, and Programs (1-2 pages)

The mission, goals, and student learning outcomes are discussed and evaluated relative to the mission, goals and student learning outcomes of Humboldt State University. A combination of evidence of alignment of program and university goals and/or a summary of the changes required for better alignment are the text of this section. The guiding document on Mission, Goals, and Student Learning Outcomes is modified, as appropriate.

II. Enrollment and Efficiency (1-2 pages)

The Office of Institutional Research and Planning provides contextual data for the program, including the following:

1. Benchmarking data (such as that which is to be used in enrollment management) for the programs from comparable institutions, including

   Program size (FTES, graduates, faculty)
   Retention rates
   SFR, upper division and lower division
Curriculum (# of program units required for graduation)

2. Contextualized data within HSU

SFR, disaggregated enrollments, and other comparable measures are summarized in the context of academic programs at HSU.

Program faculty discuss trends in the relevant data since the previous periodic review, and highlight features of the data that are relevant to the quality of their program. The evaluation and commentary is limited to 2 pages.

III. Assessment (1-2 pages)

Program faculty take a long view of the assessment completed over the past five years, indicating trends observed in the data, identifying areas of strength, areas for improvement and discussing next steps in program assessment. The evaluation and commentary is limited to two pages. The assessment plan for the program is updated, as appropriate.

IV. Diversity and Inclusive Excellence (1-2 pages)

Program faculty take a long view of the practices that have been applied toward improving diversity within the program, reviewing the data of the past five years, and examining the effectiveness of the practices that have been implemented. The evaluation and commentary is limited to two pages. The diversity plan for the program is updated, as appropriate.

V. Strength and Challenges (1-3 pages)

Based on the program review, evaluation, and planning of the past 5 years, three to five themes are identified relative to the strengths and weaknesses of the program. The discussion of these themes will provide a rationale for the five-year action plan to follow. Themes may include:

- Trends in the discipline
- Scholarly and professional contributions made by your students, graduates and faculty
- Resource Impacts (faculty, staff, OE, space, Library, IT and/or equipment)
- Grants and contracts
- University Community

VI. 5-year Action plan (2-3 pages)

Based on parts I through V, the program faculty recommend a 5-year plan of action to improve the program.

After completing the PREP Document, department faculty identify resource needs that are required to preserve or enhance the quality of their program for the next academic year (and perhaps for the long-term). Requests may be made to either reallocate funds within a program or department, or to provide new allocations. Requests may include new faculty, staff, IT or library services, equipment, facilities, or other operating expenses. All requests must be linked to needs that have been identified in the PREP processes.
**FEBRUARY: EXTERNAL REVIEW**
The College Dean and the Provost will work together to provide appropriate resources for conducting an external review the program. The parameters of the external review are to be defined over summer 2011, including the process for recruiting and selecting reviewers, essential components of the work to be accomplished, and resource constraints. Accreditation visits may serve as the external review for some programs.

**SPRING: MEMORANDUM OF UNDERSTANDING**
The Dean, College Council of Chairs, ICC, and Provost work with program faculty to create a memorandum of understanding that contextualizes the five-year plan for the academic program within the priorities of the college and university.

**MAY: DEPARTMENTAL ACTIVITY**
The program provides a summary of activities in the department or program from the academic year that are important to realizing its mission and goals, and/or relevant to program planning. The report may include such items as student accomplishments, faculty scholarship, grants, and contracts, professional events, and community outreach. The text is limited to 2 pages.

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**External Review for Program Review, Evaluation, and Planning (PREP)**
**Description of Process for Hiring and Conduct of Work**

In accordance with Program Review, Evaluation, and Planning (PREP) processes, external program review should occur after the PREP Document and Resource Request phase. The purpose for the external review is to assist faculty in improving program quality by providing a new comparative and broader perspective on the program and student learning. The external evaluator(s) will be individuals of significant professional reputation in the field.

*Following Completion of the PREP Document and Resource Request:* In addition to the normal academic program review procedures, programs will be subject to an independent evaluation by at least one external evaluator. External program review occurs only when a thorough review of a program’s PREP Document and Resource Request has been completed. It is preferable that the external reviewer be from a CSU campus. The external reviewer’s report becomes part of the permanent academic program review file.

To accomplish this purpose, an external reviewer is provided a copy of the PREP Document and Resource Request and other relevant documents. If deemed necessary by the college dean and department, the external reviewer may be asked to visit the campus for 1-2 days to meet with administrators. If so, the external reviewer conducts an exit interview and submits a written report within two weeks of the campus visit to the department chair and the college dean.
Qualifications
External reviewers’ qualifications include the following:

1. The highest degree in the relevant discipline
2. Rank of associate professor or professor
3. Distinguished record in related teaching, research and scholarly activity, and service
4. Holds faculty rank in the same or similar programs on their respective campuses
5. No conflict of interest
6. Ability to complete a site visit (if necessary) and submission of report within the prescribed timeline

Responsibilities
The external reviewer’s primary responsibility is to provide an honest, unbiased professional judgment of program quality and student learning outcomes. The external reviewer performs the following responsibilities:

1. Reviews the PREP Document and Resource Request.
2. Focuses on assessment findings, the quality of student learning, and the ability of the program to foster student learning; reviews sample student work from courses (introductory to culminating), as appropriate and with student and faculty identification removed from documents.
3. Employs other strategies deemed appropriate to the discipline.
4. Submits a written report to the Department Chair and College Dean summarizing findings of strengths and areas for improvement for each of the criteria identified in the university’s academic program review and other issues specific to the program as identified by the department chair and college dean. A template for the report is provided (see below). This review is to be forward by the department within existing resources, as well as actions that may require additional investment in the program.

(If on-campus visit is deemed necessary by the college dean the following actions will be conducted and included in the external reviewer’s report)

4. Conducts selected interviews with department chair, program faculty, staff, students, faculty members outside the department but associated with the program, the college dean, community groups, advisory groups, or other community members as appropriate to the program.
5. Conducts an exit meeting with department chair, program/departmental faculty, and college dean.

Nominations for External Evaluators
The college dean and department are responsible for the overall coordination of the external review. Nominations for evaluator(s) are solicited from the chair of the
department of the program being reviewed and from other institutions, higher education associations, and professional organizations. The nominees are reviewed by the departmental faculty, who may reject any of the nominees for cause. The evaluators are selected from the remaining nominees by the college dean.

*Materials Provided to the External Reviewer*
All external reviewers are provided with the PREP Document and Resource Request, and supporting documentation. Additional materials (e.g., course syllabi) should be available for review. Prior to any campus visit (when one is deemed necessary), the department chair provides to the external reviewer a copy of the visitation schedule.

*Honorarium and Expenses*
The honorarium for conducting an external review is $500, and represents approximately two days of the individual’s time as a special consultant. If the review includes an on-campus visit, then the department chair coordinates any necessary travel arrangements with the external reviewer, in accordance with university travel policy. The honorarium and travel expenses are processed upon receipt of the written report from the external reviewer and documented accommodation and travel costs, as previously approved. Funds for the honorarium are provided by the provost. Funds for travel reimbursement are provided by the department and/or the college.

**External Review for Program Review, Evaluation, and Planning (PREP)**

**Description of Process for Hiring and Conduct of Work**

In accordance with Program Review, Evaluation, and Planning (PREP) processes, external program review should occur after the PREP Document and Resource Request phase. The purpose for the external review is to assist faculty in improving program quality by providing a new comparative and broader perspective on the program and student learning. The external evaluator(s) will be individuals of significant professional reputation in the field.

*Following Completion of the PREP Document and Resource Request:* In addition to the normal academic program review procedures, programs will be subject to an independent evaluation by at least one external evaluator. External program review occurs only when a thorough review of a program’s PREP Document and Resource Request has been completed. It is preferable that the external reviewer be from a CSU campus. The external reviewer’s report becomes part of the permanent academic program review file.

To accomplish this purpose, an external reviewer is provided a copy of the PREP Document and Resource Request and other relevant documents. If deemed necessary by the college dean and department, the external reviewer may be asked to visit the campus for 1-2 days to meet with faculty, students, staff, community members, and
administrators. If so, the external reviewer conducts an exit interview and submits a written report within two weeks of the campus visit to the department chair and the college dean.

**Qualifications**
External reviewers' qualifications include the following:

1. The highest degree in the relevant discipline
2. Rank of associate professor or professor
3. Distinguished record in related teaching, research and scholarly activity, and service
4. Holds faculty rank in the same or similar programs on their respective campuses
5. No conflict of interest
6. Ability to complete a site visit (if necessary) and submission of report within the prescribed timeline

**Responsibilities**
The external reviewer’s primary responsibility is to provide an honest, unbiased professional judgment of program quality and student learning outcomes. The external reviewer performs the following responsibilities:

1. Reviews the PREP Document and Resource Request.
2. Focuses on assessment findings, the quality of student learning, and the ability of the program to foster student learning; reviews sample student work from courses (introductory to culminating), as appropriate and with student and faculty identification removed from documents.
3. Employs other strategies deemed appropriate to the discipline.
4. Submits a written report to the Department Chair and College Dean summarizing findings of strengths and areas for improvement for each of the criteria identified in the university’s academic program review and other issues specific to the program as identified by the department chair and college dean. A template for the report is provided (see below). This review is to be forward

(If on-campus visit is deemed necessary by the college dean the following actions will be conducted and included in the external reviewer’s report)

4. Conducts selected interviews with department chair, program faculty, staff, students, faculty members outside the department but associated with the program, the college dean, community groups, advisory groups, or other community members as appropriate to the program.
5. Conducts an exit meeting with department chair, program/departmental faculty, and college dean.
Nominations for External Evaluators
The college dean and department are responsible for the overall coordination of the external review. Nominations for evaluator(s) are solicited from the chair of the department of the program being reviewed and from other institutions, higher education associations, and professional organizations. The nominees are reviewed by the departmental faculty, who may reject any of the nominees for cause. The evaluators are selected from the remaining nominees by the college dean.

Materials Provided to the External Reviewer
All external reviewers are provided with the PREP Document and Resource Request, and supporting documentation. Additional materials (e.g., course syllabi) should be available for review. Prior to any campus visit (when one is deemed necessary), the department chair provides to the external reviewer a copy of the visitation schedule.

Honorarium and Expenses
The honorarium for conducting an external review is $500, and represents approximately two days of the individual’s time as a special consultant. If the review includes an on-campus visit, then the department chair coordinates any necessary travel arrangements with the external reviewer, in accordance with university travel policy. The honorarium and travel expenses are processed upon receipt of the written report from the external reviewer and documented accommodation and travel costs, as previously approved. Funds for the honorarium are provided by the provost. Funds for travel reimbursement are provided by the department and/or the college.

External Review Report Template
Program Review, Evaluation, and Planning (PREP)

Note to External Reviewers: Provide a commentary on each of the sections listed below. Under each is a set of suggested questions to address in your commentary.

I. Mission, Goals, and Programs (≤ 1 page)
   a) What are the strengths and weaknesses of the curriculum?
   b) What is unique about the curriculum?
   c) To what extent is the program curriculum aligned with the stated mission, goals, and student learning outcomes? In other words, can the department achieve its mission, goals, and student learning outcomes with the program curriculum it has?

II. Enrollment and Efficiency (≤ 1 page)
   a) Do enrollment patterns in the major reflect broader patterns in the discipline?
   b) In what areas might the program realize greater efficiency?
c) What are some strategies for increasing retention that might be appropriate for this program?

III. Assessment (≤ 1 page)

a) What are strengths and weaknesses of the assessment plan that has been carried out over the past five years?
b) In what ways has the assessment process enabled faculty to make decisions to improve student learning?
c) How might the assessment plan for the next five years be improved so that program faculty and administration make better use of the opportunities imbedded in conducting annual assessments?

IV. Diversity and Inclusive Excellence (≤ 1 page)

a) What are strengths and weaknesses of the diversity plan that has been carried out over the past five years?
b) In what ways has the practice of focusing on diversity enabled faculty to make decisions to improve student learning?
c) How might the diversity plan for the next five years be improved so that program faculty and administration make better use of the opportunities imbedded in annual actions and reflections surrounding diversity?

V. Strengths and Challenges (≤ 2 pages)

a) To what extent does the program’s assessment of its strengths and challenges match your assessment? What, if anything, is missing from the lists? What, if anything, should not be on the lists?
b) If there were additional resources available, what is the most pressing need for maintaining or improving the program?
c) If there were fewer resources, where can the program be cut so that student learning suffers least.

VI. Five-year Action Plan (≤ 2 pages)

a) To what extent do you agree with the proposed action plan?
b) Which items on the action plan can be implemented without additional resources? Which will require additional resources?
c) What additional actions might you suggest, and how would you measure the effectiveness of these actions?
Statement of Program Goals

General education in the natural sciences and mathematics focuses on the physical universe and its life forms, and on quantitative reasoning to assist students in understanding, appreciating, and participating in a changing world. Program goals recognize the importance of scientific methods as investigative tools and present science as a unified discipline with a major impact on the human condition.

The goals of the general education program in the natural sciences and mathematics are:

1. to provide an understanding of the nature, scope, and limits of science and its relation to other branches of human inquiry. These facets of science are exemplified by:
   a. introducing the scientific world-view that the universe operates according to a set of laws and that it is, therefore, comprehensible;
   b. exposing the student to the various ways in which scientists go about understanding the world around us, recognizing that some of the natural sciences rely heavily on detailed observation and analysis of existing evidence, while others are primarily experimental in their approach;
   c. explaining the nature of observations, experiments, evidence, inferences, and conclusions;
   d. appreciating that scientific principles are the products of human imagination and endeavor;
   e. acquainting the student with the kinds of questions that science can answer and those that it cannot;
   f. teaching the student to distinguish the rational from the irrational, the sound argument from the mathematically and statistically fallacious one, and the scientific from the pseudoscientific; and
   g. fostering the traits of inquisitiveness, objectivity, open-mindedness, and skepticism.

2. to impart the facts and principles that form our understanding of the living and non-living systems of our universe;
   a. to teach the language of science to facilitate cognition, interpretation, and communication;
   b. to develop scientific reasoning for use in the critical examination of concepts and information; and
   c. to identify sources of information for the pursuit of scientific inquiry, not only for current use, but also as a foundation for future study.

3. to develop mathematical concepts and quantitative reasoning and to demonstrate their widespread application in problem solving;

4. to provide for direct participation in a laboratory experience;
(5) to promote an understanding of the impact of scientific knowledge and technology on our civilization -- both past and present -- and to recognize the contributions that have been made by members of various cultural groups and by women; and

(6) to consider the moral and ethical implications of science, so as to nurture a respect for human values.

These should be viewed as overall goals of the entire program of general education in the natural sciences and mathematics. No single course is expected to meet all of them. The program is designed to emphasize goals 1-4 in lower division courses, while goals 5 and 6 are stressed more at the upper division level. These goals must be presented overtly and explicitly; the professor should not assume that the student will understand them solely from implicit examples of science. Further, it is understood that these objectives can be met by devoting specific lecture or laboratory time to them or by weaving them throughout the structure of the class, as the instructor desires.

Learner Outcomes and Outcomes Assessment
The following are the expected learner outcomes from the general education curriculum in Area B:

Lower Division Science GE Outcomes Life Forms and the Physical Universe

1. Students should be able to explain what sort of experiments or observations would be necessary for a particular scientific hypothesis to be rejected (or accepted).
2. Students should be able to distinguish questions that can be answered by scientific approaches from those that can't.
3. Students should be able to distinguish a scientific explanation of a particular phenomenon from a non-scientific explanation.
4. Students should be able to recognize sound arguments (direct, indirect, or statistical) as they are applied to scientific phenomena, and distinguish them from arguments that are unsound.
5. Students should be able to demonstrate their understanding of the basic language and concepts of the field under study.
6. Students should be able to develop conclusions from a particular set of observations or experiments
7. Students should be able to critically assess conclusions drawn from a particular set of observations or experiments.
8. Students should be able to find (e.g., in the library, on the internet) information relevant to the scientific understanding of a particular contemporary issue.
9. Students should be able to distinguish and give examples for the (technical) scientific use of language in the development, interpretation, and application of concepts.

Lower Division Math & Quantitative Reasoning GE Outcomes

Students should be able to demonstrate their understanding of basic concepts in math and quantitative reasoning.
Students should be able to apply mathematical concepts and quantitative reasoning in scientific contexts.

Upper Division Science GE Outcomes

Students should be able to think critically about the nature of the relation between science and society, explaining how the scientific information studied in the course both influenced and was influenced by the social context in which it was obtained. Students should be able to articulate alternative positions on the ethical implications of scientific research.

Outcomes assessment is an ongoing process such that all sections of any particular course are to be evaluated at least once every two years. For Lower Division Life Forms and the Physical Universe at least two of the nine learning outcomes must be measured when the course is evaluated. Each instructor in an Area B course determines the details of how the assessment in his/her course will be executed.

Lower Division Courses

The lower division component of general education in the natural sciences and mathematics requires a minimum of nine semester units and includes inquiry into the physical universe (facts and principles that form the foundation of non-living systems), life forms (diversity and unity of life and its fundamental processes), and mathematical concepts and quantitative reasoning (basic concepts and their broad applications).

The focus of the general education requirement is not skill-based, technique-based or utility-based. Instruction approved for the fulfillment of the Area B general education requirement is intended to impart knowledge of the facts and principles that form the foundations of living and non-living systems. GE science courses should promote understanding and appreciation of the methodologies of science as investigative tools and the limitations of scientific endeavors: namely, what is the evidence and how was it derived? Particular attention should be given to the influence that the acquisition of scientific knowledge has on the development of the world's civilizations.

The Area B requirements are generally met by selecting from among the courses identified below which are offered, approved, and reviewed by the College of Natural Resources and Sciences. Other courses offered at HSU may be recommended by the CNRS Curriculum Committee and Dean (see Course Approval) and periodically reviewed (see Review of Approved Courses) if the class meets the program goals, requirements, and focus addressed in this document.

The Area B requirement in life forms may be met by taking any CNRS approved 3- to 5-unit lower division course with a biology, botany, or zoology prefix.

The Area B requirement in the physical universe may be met by taking any CNRS approved 3- to 5-unit lower division course with a chemistry, geology, oceanography, physics or physical science prefix.

The Area B requirement in mathematical concepts and quantitative reasoning may be met by taking any CNRS approved 3- to 5-unit lower division course with a biometry, mathematics, or statistics prefix.

In specifying inquiry into mathematical concepts and quantitative reasoning and their application, the intention is not to imply merely basic computational skills or to emphasize only utility or interpretation, but to encourage the understanding of basic mathematical concepts. Courses approved for the Area B requirement in mathematical concepts and quantitative reasoning must have prerequisites that meet ELM minimum requirements.

Upper Division Courses
The upper division component of science general education is intended to broaden students' perspectives by demonstrating the interrelation of science and society and by developing the intellectual tools required for making informed judgments. To help to ensure a desirable level of sophistication among students, all lower division science general education must be completed before enrolling in an upper division course. An upper division science general education course must be developed around a strong science core and must draw upon the information and experience gained in lower division science general education classes. A number of approaches are possible, such as organizing a course along historical lines, critically examining contemporary topics susceptible to scientific evaluation, or surveying disciplinary or thematic issue. Although course content may vary substantially from one class to another, every upper division general education course in natural sciences and mathematics must:

1. discuss a body of knowledge in natural science or mathematics and place its major scientific discoveries in an historical perspective relative to important social, cultural, religious, or political events; and
2. expose students to the critical thinking skills necessary to make informed judgments on scientific and technological issues facing society.

Students may satisfy a six-unit upper division Area B requirement by completing an approved minor in one of the Area B disciplines in the College of Natural Resources and Sciences, or they may satisfy the three-unit requirement by taking one of the approved courses.

Course Approval
Programs or departments wishing to propose a general education course in the natural sciences and mathematics are required to submit:

1. an explanation of how the course meets the program goals in the natural sciences and mathematics;
2. a detailed course outline, including the approximate number of lectures per topic or specific objective;
3. a statement of the method(s) of student evaluation to be employed in the course, addressing specifically the university requirement of a critical interaction between the student and the ideas, perspectives, and methodology of the area.

Review of Approved Courses
Outcomes assessment is an ongoing process, such that all sections of any particular course are to be evaluated at least once every two years. For Lower Division Life Forms and the Physical Universe at least two of the nine learning outcomes must be measured when the course is evaluated. Each instructor in an Area B course determines the details of how the assessment in his/her course will be executed.

For a copy of the Protocol for Learning Outcomes Assessment for each of the GE Area B offerings (Lower Division Life Forms/Physical Universe, Lower Division Math/Quantitative Reasoning, and Upper Division Science), along with student and faculty survey forms, and forms for summarizing collected data, please contact the CNRS Dean's Office.

Revised: CNRS Curriculum Committee, 02 May 1996
Approved: Dean, 03 May 1996
Approved: UCC, 07 May 1996
Fall 2003: Information on "Learner Outcomes and Assessment" and updated "Review of Approved Courses" is the result of several years of consultation among the CNRS faculty, the CNRS Curriculum Committee, and the UCC (Summer 1999 through AY 2002/03).
DCG Guidelines
Any approved DCG course will be centrally organized around the aims of one of the four pedagogical models below.

A. Multicultural Studies: Educational Objectives
   - To comprehend the diversity of knowledge, experiences, values, world views, traditions and achievements represented by the cultures of the United States and/or beyond, and to understand some of the significant ways in which those cultures have interacted with one another
   - To explore and evaluate concrete examples of the student's own cultural heritage in relation to others
   - To develop in students the ability to read a culture critically through expressions and representations indigenous and exogenous to that culture

B. Identity Politics: Educational Objectives
   - To study how various cultural groups have defined their visions of self and other, and of the relationships between self and other
   - To evaluate the complexity and fluidity of social identities, particularly with respect to the intersections of class, ethnicity, disability, gender, nationality, and so on
   - To understand how cultural differences and identities founded in such categories as age, race, sexuality and so on are produced and perpetuated through a variety of social, cultural, and disciplinary discourses (e.g. literature, popular culture, science, law, etc.)

C. Differential Power and Privilege: Educational Objectives
   - To become aware of the causes and effects of structured inequalities and prejudicial exclusion rooted in race, class, gender, etc., and to elucidate broader questions of bias and discrimination as they relate to the exercise and distribution of material and cultural power and privilege
   - To study culturally diverse perspectives on past and present injustice, and on processes leading to a more just and equitable society
   - To expand the ability to think critically about vital problems and controversies in social, scientific, economic and cultural life stemming from differences of gender, race, disability, class, etc.

D. An Integrative Approach
   An integrative approach which substantively incorporates aims from two or more of the models.

Additionally, students will continue to be required to take two DCG courses but now at least one of the two courses used to satisfy the DCG requirement must be domestic, i.e. focused on the United States, and the second of the mandatory courses may take an approach that recognizes wider international or transnational forces.

Finally, departments will review the DCG guidelines with all faculty assigned to teach DCG courses, and individual instructors will highlight for students, in class and on the course syllabus, the principal aims of their courses with respect to DCG.
Procedures for proposing and recertifying DCG courses, the DCG Course Proposal Form, historical references and other information regarding DCG guidelines may be found at the Academic Programs’ website: http://www.humboldt.edu/academicprograms/GE%20and%20All-University%20Requirements.html

Recommended by UCC and approved Spring 2000 by Academic Senate and President McCrone – effective Fall 2000.

SECTION 8.7 – THE PROCESSING OF CURRICULUM PROPOSALS

There are two pathways for processing curriculum proposals. If the request is a minor one, such as editorial changes in catalog copy or one that has no impact outside of the unit originating the request, it will be handled by the Department Chair and the Associate Dean. It will not be reviewed by the CNRS Curriculum Committee. Proposals that have an impact on other programs will be reviewed by the CNRS Curriculum Committee for its recommendation.

All proposals are to be sent to the Dean’s Office. The sections that follow summarize what form and additional information is needed to review and approve the proposal.

- **Changing an approved course offering**
  Complete HSU Form 124. Requests to change the mode of instruction or to increase the number of units in a class must be accompanied by a rationale for the modification. For the following types of changes, a Humboldt Online Catalog Search must also be completed at http://www.humboldt.edu/~oaa/cgi-bin/catalog/, and printed and signed verification of the search submitted with the curriculum change form:
  - course number changes
  - course subjects/prefix changes (e.g. JN to JMC)
  - substantial course title or course description changes
  - unit values changes
  - addition or removal of lab or activity (mode change)
  - prerequisites/corequisites changes

- **Proposing a new course**
  Complete HSU Form 122 (New Course Proposal Form) along with an explanation of why this course should be added to the curriculum, a brief description of the mode of instruction, and a syllabus that lists the topics to be presented. (See below for additional requirements for GE course proposals).

- **Adding or dropping a required course offered by another department**
  Complete HSU Form 124. A Humboldt Online Catalog Search must also be completed at http://www.humboldt.edu/~oaa/cgi-bin/catalog/, and printed and signed verification submitted with the HSU Form 124 to indicate that you have discussed this change with the Chair of the department offering the class that is to be added or deleted.

- **Proposing an Area B general education course**
  Complete HSU Form 122 (New Course Proposal Form) and address the way in which the specific goals and objectives in the appropriate section of "Generation Education in the Natural Sciences and Mathematics" will be met. All Area B course proposals will be reviewed by the CNRS Curriculum Committee.

- **Proposing a "Diversity and Common Ground" course**
  Revised DCG guidelines, effective Fall 2000, may be found in Section 8.5 of this handbook. Additional procedures for proposing and recertifying DCG courses, as well as the required "DCG Proposal Form," may be found at the Academic Programs’ website:
• **Proposing a new major**
  The Chancellery has not delegated to the campuses the authority to approve new majors. The proposal will be examined not only by the Chancellor's staff, but also by the California Post Secondary Education Commission. Please contact the Dean's Office for information on the procedure for submitting proposals for new degree major programs. All proposals for a new major will be reviewed by the CNRS Curriculum Committee.

• **Proposing a new minor or option**
  The campuses have been delegated authority to approve new minors, options, and concentrations. Please contact the Dean's Office for information on procedures for proposing new minors or options. All proposals for a new minor will be reviewed by the CNRS Curriculum Committee.

• **Program self-studies**
  Program self-studies must follow the guidelines approved by the Office for Academic Affairs and the protocols for CNRS program review self-study, both of which are outlined in the "Program Self-Study" section of this. All self-studies are reviewed by the CNRS Curriculum Committee.

Some curriculum proposals are easily understood and the written material is more than sufficient. There are times, however, when the proposal is complex and even controversial. In such instances, a department representative should be present at the Curriculum Committee meeting. It is not appropriate to expect a member of the college committee to act as a champion for the proposal, unless he or she is its author.

Approved by Consensus: Fall 1995
Council of Department Chairs
College Curriculum Committee, November 1997
Revisions August 2000 based on new guidelines from the Office of Undergraduate Studies
Edits Fall 2003

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**SECTION 09 – RESEARCH POLICIES**

**SECTION 9.1 – MISCONDUCT IN SCIENTIFIC RESEARCH**

It is the policy of Humboldt State University that scientific research be conducted according to the highest ethical and professional standards. It is the responsibility of faculty and staff researchers to instruct and supervise students in proper research ethics both through normal modes of instruction and by example. It is the responsibility of the University to foster an environment that encourages high ethical and professional standards and [to] discourage misconduct in all research, and to deal forthrightly with possible misconduct associated with all research conducted by or at the institution whether unfunded, funded by institutional sources, or funded from extramural sources.

We adopt the federal definitions of misconduct for use at HSU. Misconduct is defined as "fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data."
SECTION 9.2 – POLICY ON FACULTY "BUY-OUT"

It is the position of the Dean’s Office that faculty services, when purchased by outside agencies, should reflect the full cost of the release time purchased. For example, if a faculty member’s academic year salary is $60,000 and the agency is requesting 50% (or 7.5 WTUs) release from responsibilities for that academic year, then the cost to the agency is $30,000 plus benefits. Although replacement cost rather than full cost has been negotiated in the past, it seldom reflects the total cost to the department of having a regular faculty member removed from the department for a portion of his/her load. If replacement cost rather than full cost is the only option available to an investigator, the calculated replacement costs should be adequate to fund appropriately qualified temporary faculty.

CNRS policy is to encourage faculty to pursue opportunities that involve research/service with outside agencies. In support of this, a portion of funds recovered (25%) above those for replacement in the classroom will be returned to the departments to cover additional costs and to promote more research activity. However, because internal releases such as those for faculty governance are based on minimal replacement costs and generally cost the college more than the amount returned in exchange for faculty services, the college must retain a portion of any funds recovered above those for replacement. The default return rate to the department will be 25% of the excess of direct replacement, although the possibility for negotiating with the Dean on a case-by-case basis exists.

SECTION 9.3 – POLICY ON PRINCIPAL INVESTIGATORS

Because grants and contracts are generally agreements in which the university is responsible for delivering the product, approval for submissions by the Dean’s Office will only be for permanent employees (permanent staff, tenured or tenure-track faculty, and staff of the Cooperative Fisheries Unit) of the university. Temporary faculty and staff who wish to apply for grants or contracts must have a qualified sponsor who serves as the Co-Principal Investigator on the project.

SECTION 9.4 – PROTECTION OF HUMAN SUBJECTS IN RESEARCH

HSU protects human subjects in research from risks to health and psychological and social well-being. It is the responsibility of the HSU Institutional Review Board (IRB) to review all research involving human subjects and to maintain records of its review for a period of not less than three years after the completion of the research.

This policy covers all research involving human subjects: (1) conducted at HSU; (2) using HSU facilities; (3) by HSU employees, students, or other persons otherwise affiliated with HSU; or (4) using HSU employees or students as subjects. It also applies to research conducted by or with the assistance of the HSU Foundation and other HSU auxiliaries.

For additional information, see Executive Memorandum P92-7 and the IRB Handbook, or contact the Office of Research and Graduate Studies.
SECTION 9.5 – ANIMAL CARE AND USE POLICY

Humboldt State University recognizes both a scientific and an ethical responsibility for the humane care of vertebrate animals. All faculty, staff, and students who care for or use vertebrate animals in education, testing, and research must assume responsibility for general animal welfare. The animal accommodation facilities and programs of this campus will be operated in accordance with applicable federal, state, and local regulations and policies.

The monitoring of the care and use of animals at HSU shall be the responsibility of the Institutional Animal Care and Use Committee (IACUC). The Committee, whose members are appointed by the President, shall include: (1) a scientist from the institution with experience in research involving animals; (2) the University's attending veterinarian; (3) a person who is not affiliated in any way with the campus, other than serving as a member of the committee, and (4) other members as required by institutional needs and by federal, state, and local regulations and policies.

The functions of the IACUC include: (1) carrying out a semi-annual review and evaluation of activities involving animals; (2) reviewing and, if warranted, investigating complaints received from employees or from the public; (3) reviewing and approving proposed activities involving animals that are related to the care and use of animals and significant changes to those activities; (4) making recommendations to the President regarding any aspect of HSU’s animal program, facilities, or personnel training; and (5) performing other functions as required by institutional needs and by federal, state, and local authorities.

In general, any research or educational activity that involves vertebrates must be approved by the IACUC. This includes research and educational activities involving vertebrates by undergraduate and graduate students. Graduate theses in which the research includes vertebrates must have the approved IACUC protocol number in the thesis. More detailed information regarding the care and use of animals in teaching and research may be obtained by accessing the IACUC website or by contacting the CNRS Dean's Office.

[Source: HSU Executive Memorandum P89-6.]

SECTION 10 – THE BUDGET

SECTION 10.1 – BUDGET PRINCIPLES AND CALENDAR

Budget Principles
The budget allocation process is based upon assumptions that are subject to change given the effects of various internal and external factors. This document may be revised periodically to reflect these changes.

External Factors (CSU and State of California) That Must Be Considered
(1) The number of students that the CSU will be expected to admit, educate, and graduate will increase. Humboldt State University will be asked to do its part in meeting these targets.

(2) Higher education will not see a restoration of its former funding levels. General fund allocations to the CSU will increase only slightly above present levels. Modest increases in the general fund and expected increases in student tuition and fees will be consumed by inflation, pay raises, bond payments, and infrastructure costs.

(3) Grants, contracts, and gifts will increase. However, almost all of these funds will come to the campuses for restricted uses and will not provide significant augmentations to the
routine costs of running the academic programs. Additionally, grants may often require matching resources that may lead to shifting of resources.

(4) Accountability will become increasingly important, especially in terms of serving a budgeted number of students, of time to graduation, and of the success of the graduates of the academic program in meeting the needs of the people of the state.

(5) Technological developments will bring about major changes in the way that students and faculty will interact. This will impact the budget allocation process.

(6) Not all public institutions may survive. Those that lack a distinctive mission and character or those too narrow in focus will be especially vulnerable.

(7) There will be academic program changes. Cost factors and student interest will force the consideration of pedagogical adjustments. Some existing programs will be merged with others and some will be eliminated as new programs are approved.

(8) The CSU will adopt a budget methodology that is basically quantitative in its approach. Major categories of the CSU's budgets to the campuses have been identified as: Sustaining, Enrollment Adjustments, and Special Initiatives. The number of students on a campus will continue to be a major factor in determining its budget, along with, perhaps, student-to-faculty ratio, other student-to-unit ratios, and differences in program costs. Campuses will have a great deal of flexibility in how they budget internally.

Attributes of the HSU Allocation System

(1) The system of allocating academic resources must be based upon a thorough understanding of the resource generation methodology used by the CSU.

(2) Alternative allocation procedures that best meet the academic and campus needs should be utilized.

(3) Internal allocation procedures should be consistent with what is said about the institution in the university mission statement and in the recruiting strategies for faculty, staff, and students. They should include provisions for rewarding behavior that would improve upon the institution's academic mission.

(4) As in the past, the University will not be able to maintain all of its programs at an equal level of excellence. The allocation system accepts the inevitability, even the desirability, of maintaining some academic programs at a higher level of quality than others. Such determinations are linked to the philosophy and priorities that appear in the University's mission statement, in its long range planning documents, and in decisions made as a result of the periodic curriculum/resource reviews of approved programs.

(5) Some programs, including high demand programs, may be held at a level of minimum program support; others will be allowed to grow.

(6) Some academic departments and programs may be merged with one another. Others may be eliminated. However, layoff of faculty and staff cannot be viewed as an immediate source of additional funds to solve a budget problem. Long term planning that involves program discontinuation, followed by retraining and reassignment of permanent employees, is an acceptable budget strategy.

(7) The allocation procedures must be open to inspection and be explainable.

(8) The methodology should rest upon a series of features, many of which are numerically described and are subject to verification and correction.

(9) While the number of students served must be a primary factor in determining the allocation of resources to a college, it is not the only criterion used. It is recognized that
some programs have higher non-personnel operating costs than others. Programs also differ widely in their modes of instruction (lecture, laboratory, studio instruction, etc.), the level (lower division, upper division, graduate) of students taking classes in the program, and the balance of permanent and temporary faculty. Some programs may also be considered essential to the University.

(10) Because faculty salaries consume the major portion of the Academic Affairs budget, special attention must be focused on the method of assigning faculty positions. The "C-classification Standards" developed almost three decades ago by the CSU should be adapted to meet the campus needs or replaced entirely with new mode and level criteria designed by this campus. A much more flexible approach to assigning C-classifications should be encouraged -- one that places more emphasis on how teaching/learning strategies are actually carried out in the classroom. It is urged that more attention be devoted to consistent and uniform application of whatever criteria may be developed in addressing mode and level classification.

(11) Allocations should be made to colleges or to other major academic units, as opposed to departments or programs.

(12) The allocation process should not cause dramatic annual changes in the resources available to a unit. A college or other major administrative unit should not ordinarily experience more than a 2% decrease in its budget from one year to the next.

(13) Funds for dealing with emergency situations, unanticipated enrollment demands, campus-wide commitments, and special initiatives should be held centrally in the Provost’s Office.

(14) The majority of the Academic Affairs General Fund budget is allocated in support of sustaining operations. The base budget provides for the primary maintenance of current programs and units. The determination of the basic support provided to each of the approved programs and these functions begins with recommendations made by the unit itself as part of the Program Review process. These recommendations are evaluated and modified, as deemed necessary, over the course of the entire review. The process culminates with a recommendation to the Provost regarding appropriate resource support for the program. The base budget is subject to other adjustments (up or down), including:

- changes in the level of support provided by the Governor's Budget
- shifts in student demand
- costs of implementing modifications in university priorities
- costs of implementing modifications in OAA priorities
- costs of implementing special initiatives
- cost changes

(15) As funds and priorities permit, unit budgets will be adjusted upward or downward to reflect changes in enrollment distribution. This may be viewed as the second component of a unit's budget (Enrollment Adjustment).

(16) Remaining funds should go to a third budget component, money requested and approved for special initiatives within or among units.

**Budget Calendar**

The budget calendar represents a complete budgetary cycle that spans a twelve or thirteen month period. The cycle begins with the Director of Budget and Institutional Data presenting an overview of the previous academic year’s allocations and expenditures in September of the
current academic year and it terminates with the Provost's approval of the budget in August or September of the following academic year.

SEP During first budget planning meeting for next academic year, the Director of Budget and Institutional Data, Academic Affairs (BIDAA), presents to the Provost's Council an overview of previous year's allocations and expenditures

SEP Deans, Librarian, and Directors present to the Provost’s Council base budget requests for next academic year

OCT Provost reports on prior year and current year budgets to Senate Executive Committee or Senate, as appropriate, and discusses plans for next academic year's budget

JAN Mid-year review by the Provost’s Council of current academic year expenditures

JAN Dean of Enrollment Management presents to the Provost’s Council preliminary enrollment forecast for next academic year

FEB Director of BIDAA presents to the Provost's Council preliminary OAA budget for next academic year

FEB Director of BIDAA adjusts base budget requests for next academic year, where appropriate, to reflect enrollment projections

FEB Provost, with advice from the Provost’s Council, approves preliminary budget for next academic year (base budget + enrollment adjustments, where appropriate) for major administrative units

MAR Deans, Librarian, and Directors present to the Provost’s Council special initiatives requests for next academic year

MAY Dean of Enrollment Management presents to the Provost’s Council revised enrollment forecast for next academic year

MAY Provost, with advice from the Provost’s Council, approves preliminary budget for next academic year (base budget + enrollment adjustments + special initiatives) for major administrative units

AUG University President, after receiving recommendations from the URPBC and consulting with Executive Committee, approves the OAA budget for current academic year

AUG/ Provost, after appropriate consultation, approves final OAA budget for current academic year

SEP

BUDGET CATEGORIES
The budget categories used by the Office for Academic Affairs, along with their associated Common Management System subcodes, are listed in the "Provost's Budget Request Package." The list is subject to periodic revision.

DEFINITION OF BASE BUDGET
A unit's base budget is the funding needed to provide essential services for its currently approved program (size and functions). If there were no changes in the number of clients to be served, no required changes in the functions to be carried out, no inflation, and no compensation increases, then the base budget would remain at the current level for the indefinite future. In the real world, the number of students, faculty, and staff does change; functions are added and deleted; inflation can be a significant factor; salaries do increase; equipment does have to be repaired and replaced. The base budget for a unit changes accordingly.
To assist in the analysis of base budget requests, the Vice President's Office will provide the Budget Committee and the Provost's Council with a three-year history of expenditures in major budget categories (e.g., personnel, operating expenses, and equipment) for the administrative units within Academic Affairs; a summary of relevant portions of the Governor's budget for units that have discrete allocations; a projection of Full-Time Equivalent Students and Full-Time Equivalent Faculty for the coming year; and any additional information that either group may find useful in its deliberations.

The base budget concept excludes consideration of special initiatives. An opportunity will be provided to entertain requests for new initiatives.

Because of the uncertainties of changes in compensation (wages, salaries, fringe benefits, etc.), presentations should exclude these adjustments. Once they have been determined, a unit’s personnel budget will be modified.

PROTOCOL FOR PRESENTATIONS
The Provost, College Deans, University Librarian, Staff Deans, and the Director of Information Technology Services will make the presentations before the Provost’s Council. The requests from other directors (CICD, Marine Laboratory, etc.) will be made by their supervisors. Those who will make presentations will be expected to submit a written summary of their remarks prior to the Provost’s Council meetings scheduled for the presentations themselves. All of the written summaries will be due on the same day so that committee members will have an opportunity to see all of the information at once and to make whatever comparisons and analyses are deemed appropriate. To assist in those efforts, the Provost will make available to the Provost’s Council members the preliminary allocations of personnel and operating expense budgets that each major unit would have received under the currently approved allocation procedures. After the oral presentations, the Provost’s Council members will be able to ask questions, seek clarifications, and offer commentary and suggestions.

Endorsed in concept by ARAC: 19 December 1995
Discussion and amendments by ARAC: 24 January 1996
Revisions by ARAC Budget Subcommittee: 31 January 1996
Reviewed by Academic Senate: 02 April 1996
Revisions by ARAC Budget Subcommittee: 30 August 1996
Revisions by the OAA Budget Committee: 03 December 1997
Revisions recommended by the OAA Budget Committee: 10 December 1997
Revised and recommended by Provost’s Council: 17 December 1997
Reviewed and recommended by the Senate Executive Committee: 20 January 1998

SECTION 10.2 – DEFINITION OF INSTRUCTIONAL EQUIPMENT

Instructional equipment:
• has a minimum acquisition cost of $500;
• has a normal useful life of two or more years;
• is used primarily in the direct or indirect support of classroom instruction, including directed, and/or experiential learning;
• is typically assigned to rooms that are classified as capacity space (FTES-generating), lecture/laboratory preparation areas, display areas (museums, galleries, and so on), media centers, courseware development centers, distance learning facilities, computer workstations assigned to faculty offices, and public information retrieval areas of the library.
Vans and buses used primarily to transport students to and from field sites or to off campus facilities are instructional equipment.

Furniture items are not ordinarily instructional equipment unless such items are used in a classroom or are used for special educational purposes, e.g. display cases.

Equipment items assigned to administrative offices (provost, deans, directors, etc.) are not instructional equipment.

[Adopted by OAA Provost’s Council, 22 October 1997]

SECTION 10.3 – MATERIALS, SUPPLIES AND FACILITIES FEE

The MSF fee imposed on students in the fall of 2010 eliminated most of the existing course fees, including the CNRS lab fee. The intent of the fee is to allow HSU to maintain its current strengths and ensure that the campus continues to offer the best possible hands-on educational experiences to our students. Specifically, the MSF fee will be used to purchase materials/equipment/services which support hands-on learning and unique facilities (e.g., Marine Lab, Vessel, Fish Hatchery, Greenhouse, etc) that enhance the undergraduate curriculum. The Dean of the college, in consultation with faculty, staff, and students, is responsible for allocations of funds collected through the MSF fee.

SECTION 11 – TRAVEL POLICIES

SECTION 11.1 – COLLEGE TRAVEL POLICY

Scope and Criteria. College of Natural Resources and Sciences travel funds are to be used chiefly in support of activities that enhance teaching effectiveness and professional development. Support is generally available to faculty, as defined by the College Bylaws, and only to the extent that the travel budget permits. See Appendix W of the Humboldt State University Faculty Handbook for an explanation of additional State and California State University regulations.

A. Faculty Travel. First priority shall be given to active participation at a meeting of a professional society or organization: (1) presenting an invited paper, (2) participating as a member of an executive committee or board of directors of a professional society or of an organization, or (3) coordinating a workshop or chairing a session at a professional meeting. Second priority shall be assigned to those activities that enhance the teaching effectiveness and professional development of a faculty member such as (1) attending a professional meeting or (2) attending a workshop, seminar, or short course that will enhance one’s professional skills. Special consideration shall be given to requests from faculty who have had no college-funded trips in the last three years.

If a trip does not satisfy these criteria, a Chair may indicate exceptional circumstances justifying College support of the trip. For example, the trip may provide an exceptional opportunity for the faculty member to bring back information to the department.

B. Administrative Travel. Travel necessary to maintain accreditation or for system-wide meetings of department chairs is normally funded from departmental OE allocations and should be requested as part of the budget review process. It is the intent of this policy that the bulk of the travel money should be reserved for support of activities that enhance teaching effectiveness and professional development.
**Reimbursement.** Travel expenses for travel under 11.1.A “First Priority” will be reimbursed from CNRS funds up to $500 of state allowable costs subject to change depending on state budget. The number of funded trips is subject to the limits of the CNRS travel budget line item. Additional allowable costs over and above the limits may be paid out of departmental operating expense budgets or other departmental funds at the discretion of the Department Chair.

**Deadlines.** Travel requests involving College of Natural Resources and Sciences funds must be submitted to the Dean's Office by the dates shown below.

<table>
<thead>
<tr>
<th>Date Trip Planned</th>
<th>Travel Request Filing Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Summer break</td>
<td>One week after Spring finals end</td>
</tr>
<tr>
<td>Fall term</td>
<td>One week after classes begin Fall term</td>
</tr>
<tr>
<td>Spring term</td>
<td>One week after classes begin Spring term</td>
</tr>
</tbody>
</table>

To provide for meetings and invitations announced late in the year, approximately twenty percent (20%) of the travel budget will be held back for requests made during the last four months of the fiscal year. Requests for travel will ordinarily be processed in the Dean's office within one week of the deadline dates given above, using the criteria as a guide in determining support. The Chair's signature on the request indicates review and concurrence with the request for College funds to support the trip.

Cl*aims should be filed within two weeks after the traveler returns.* Trip cancellations should be reported to the Dean's office immediately so funds can be redistributed.

Recommended: Council of Department Chairs (22 August 1991)
Approved by the Dean (22 August 1991)
Amended and Recommended: Council of Chairs (4 September 1997)
Approved by the Dean (4 September 1997)

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**SECTION 11.2 - CRITERIA FOR STUDENT TRAVEL FUNDS**

To be eligible a student must be majoring in one of the disciplines of the CNRS and must be currently registered as a full-time upper division or graduate student. He or she must be accompanying a faculty member on the trip.

1. Attending a national or regional professional conference or meeting
   - the student is making an invited presentation
   - the student is participating in a panel discussion or workshop presentation
   - the faculty member is presenting or participating
   - the student is receiving an award

2. Attending a workshop or seminar related to degree requirements

PROCEDURE: When applying for funds, it is easiest if the student names are on the faculty travel request with a "one liner" asking for support from the student travel fund. It is not necessary to send memos with explanations and justifications. When claiming funds the faculty traveler files a claim for the full amount approved (for student and faculty). One check will be issued (unless we use more than one account) and the faculty member makes the distribution from his or her reimbursement.
If the faculty member has filed a request and decides at a later date to include a student or students in the trip, call the CNRS Dean's Office to add the name(s) to the existing request and make adjustments to the funds requested. Do not send a request with only student names on it. Accounting will not process student only travel requests. Copies of the revised request will be sent to the appropriate offices.

SECTION 11.3 - COLLEGE FIELD TRIP POLICY

CNRS FIELD TRIP POLICY

Per the CSU Chancellor’s Executive Order No. 715, the following constitutes the College of Natural Resources & Sciences Field Trip Policy. This policy is consistent with the HSU Field Trip Policy (https://www.humboldt.edu/forms/node/142). For the purposes of this policy, “field trip” is defined as any off campus activity associated with an HSU class. Students conducting research on their own time (e.g., independent study or thesis research) are not considered to be on “field trips”.

For each course in which fieldtrips are part of the curriculum, faculty complete a Field Trip Request Form and submit the form to their department coordinators (or to the CNRS Dean’s office, as needed) prior to the semester. For “opportunity” field trips, the Field Trip Request Form is to be submitted at least 2 weeks prior to the event. The form may be found at http://humboldt.edu/forms/sites/forms/files/field_trip_request_cs_08232010.pdf

Submitting the Field Trip Request Form starts the electronic process by which students, 18 years and older, sign their CSU Waiver of Liability form and update their emergency contact information. Students under the age of 18 must complete a paper version of the CSU Waiver of Liability, which they may find at http://humboldt.edu/forms/node/150.

For field trips that are less than 48 hours in duration the CNRS guidelines are:

1. Students should be provided with advance notification of required field trips, including in the course syllabus.
2. Students must fill out the Release of Liability Form (electronically through their Student Center, or paper at http://humboldt.edu/forms/node/150, if under age 18).
   a. The paper forms for students under age 18 must be retained until the third full academic year following the trip.
3. The faculty member or instructor should visit the general area prior to the field study or be able to demonstrate sufficient knowledge of the area.
   a. Students should be provided with information about the area.
4. A detailed day-to-day instructional agenda including health and safety instructions must be prepared and distributed to all participants.
   a. This should include a general itinerary associated with the trip.
   b. The instructional plan should include in the itinerary all destinations and alternate destinations should an emergency prevent entry into the original destination.
   c. Send a copy of the itinerary to the University Police Department and one to your department.
5. Plan for and accommodate students with special needs.
6. Provide training for any equipment to be used on the trip.
7. Review permissible conduct rules.
   a. Be sure to include the CSU/HSU policy regarding alcohol and chemical substances (i.e. no alcoholic beverages or chemical substances except personal prescriptions medication, shall be transported in any state/university vehicle or personal private vehicle used in support of a university sponsored activity.)
i. See HSU Campus Drug and Alcohol Policy at http://www.humboldt.edu/studentrights/alcohol_drug_policy.php
ii. CSU policy “Use of University and Private Vehicles Policy Guidelines” at www.calstate.edu/HRAdm/Policies/csumvpolicy_guideline.pdf

8. Communicate codes of conduct for staff and students, addressing such issues as fraternization, consumption of alcohol and conduct during “free time”.
   a. Advise participants of the consequences of non-compliance and take appropriate action as necessary.

   a. Have students provide the names of people who should be contacted in the event of an emergency on the Field Trip Participant Roster (see http://training.humboldt.edu/documents/Generating_a_Field_Trip_Roster.pdf).
      i. Print one copy of this roster to take with you on the fieldtrip; The department and the University Policy Department have access to this roster through CMS.
      ii. Students who leave the field trip before it has officially concluded should sign out on a Sign Out Release Agreement (this is a printed form available at https://www.humboldt.edu/forms/node/246).

10. Determine transportation needs.
   a. Recommend that students provide their own transportation to and from field trip sites whenever possible.
   b. Car pools may be organized, however all drivers in an organized car pool must be state employees or identified University Volunteers by completing a CSU Volunteer Form (https://www.humboldt.edu/forms/node/350) and completing the on-line defensive driving course (https://centralstationu.skillport.com/skillportfe/register.action).
   d. For university provided ground transportation (non-commercial), all drivers must be state employees or identified university volunteers and must be authorized to drive vehicles on university (state) business.
   e. For rented vehicles contract through the University or State contracted vehicle rental agencies whenever possible.
      i. All drivers must be state employees or identified University volunteers by completing the CSU Volunteer Form. If there is an accident involving a vehicle, please file STD 270 Report of Vehicle Accident (http://www.documents.dgs.ca.gov/osp/pdf/std270.pdf).
   f. For air travel, refer to CSU Executive Order 590.

For field trips lasting more than 48 hours in addition to items 1-11, above, the following must also be completed:

11. Students must fill out the Medical Information and Authorization Form (see http://humboldt.edu/forms/node/152).
   a. This paper form must be retained until the third full academic year following the trip.
(CSU Chancellor's Executive Order No. 715)
SECTION 11.4 - UNAUTHORIZED PARTICIPATION IN FIELD TRIPS
From time to time individuals who are neither faculty nor staff with responsibilities for
instructional field trips, nor students enrolled in courses providing such field trips have been
invited or have, on their own volition, joined such field trips.
Please notify all those concerned that only students enrolled for credit in such courses and faculty, administration, or staff assigned to or responsible for such trips are permitted to accompany or participate in them. Policy and regulations involving use of state funds, as well as liability considerations, make this limitation mandatory.

SECTION 12 – SPACE AND FACILITIES

SECTION 12.1 – COLLEGE FACULTY OFFICE ASSIGNMENT POLICY

Introduction: The Office for Academic Affairs assigns the College of Natural Resources and Sciences particular spaces that are designated as faculty offices and administrative offices. The Dean is responsible for allocating offices within the college and for monitoring their use. In addition to the allocated spaces from OAA, we have elected to use other kinds of spaces (prep rooms, storage areas, etc.) as faculty offices, as well. Together these official and unofficial offices constitute the offices that we actually have available for assignment each term.

The Problem: Our college has many competing needs for space. Obviously the top priority use of faculty office space is for full- and part-time instructional faculty including teaching assistants/associates. The needs of emeritus faculty, adjuncts, associates, and staff hired on research grants or contracts will also be considered.

Principles:
1. Tenured, probationary, and part-time faculty are entitled to office space. The nature and location of this office is, for most faculty members, of critical importance.
2. Our goal is that each permanent faculty member should occupy a private office.
3. Reassignment of permanent faculty from one office to another should be minimal. A one-term advanced notification of pending moves should occur.
4. All other uses of faculty offices (non-teaching staff, researchers, institutes, etc.) are discretionary and subject to availability.
5. Graduate students, especially those who are not currently enrolled, have no right to office space. They have a right to have a work space where they can carry out their research, access to facilities and equipment, etc. Typically we would expect to see graduate students located at work benches in laboratories, preparation rooms, collections, and others kinds of non-capacity spaces, as opposed to faculty offices.
6. A number of our faculty are in rooms never intended as faculty offices. Several of them are clearly substandard. As opportunities present themselves, we should evaluate these spaces and, when appropriate, convert them back to their original use -- prep rooms, storage, etc.
7. Several rooms built as faculty offices have been converted to other uses. These rooms should be evaluated and returned to the office inventory as long as there is a need for office space. This is especially true of single-station offices.
8. Because a faculty member or a unit occupies a particular space, it does not necessarily belong to that individual or that unit permanently.
Guidelines:
The Dean's Office will typically assign faculty offices according to the following priorities, with the understanding that requests for exceptions will be reviewed and negotiated on a case-by-case basis.

a. Full-time instructional faculty, including those on leave or sabbatical (unless absent from campus)
b. FERP's and other part-time faculty (the term they teach)
c. Emeritus faculty professionally active on campus
d. Adjunct faculty, directors of institutes or their equivalent, research associates*, non-HSU faculty engaged in funded research*, graduate students engaged in funded research*

*When grant or contract compensates state for use of space.

Endorsed: Council of Chairs (04 March 1993). Approved: Dean (04 March 1993)

SECTION 13 – CNRS AUXILIARY UNITS AND SPECIAL INITIATIVES

From time to time it may be desirable to form or affiliate with an association of individuals, faculty, staff and others, who may wish to encourage or pursue activities (including research and creative activities) that are consistent with the mission and character of the University. The conditions and procedures for chartering and renewing an institute's charter are provided in the "Policy on Formation of or Affiliation with Institutes" (UML98-1.) For more information, contact Dean of Research. For Institutes or Centers in the CNRS, directors must be permanent (tenured or tenure-track) faculty members.

SECTION 13.1 – CALIFORNIA COOPERATIVE FISH & WILDLIFE RESEARCH UNIT

The California Cooperative Fish and Wildlife Research Unit is a cooperative effort among Humboldt State University, the California Department of Fish and Wildlife, the United States Department of the Interior, Geological Survey, the Wildlife Management Institute and the United States Fish and Wildlife Service. The cooperators pool resources to accomplish our stated mission to:

1. Conduct scientific research that benefits fish, wildlife, their habitats, and ecosystems upon which they depend;
2. Train graduate fisheries and wildlife management students, through mentoring and teaching graduate level courses, to become competent fisheries and wildlife scientists; and
3. Provide technical assistance to the fisheries and wildlife profession by sponsoring training workshops, reviewing and writing manuscripts for publication, and coordinating research activities.

The California Unit is one of 40 similar units established under the Federal Organic Act at universities throughout the United States. The Cooperative Unit Program began in 1935. Cooperators include the U. S. Geological Survey, State Fish and Wildlife Agencies, the Universities, and in some instances, other conservation agencies. The units conduct research of benefit to cooperators, train graduate students and provide research information to agencies
and the public. Cooperative Units professional staff members are federal employees of the US Geological Survey and serve as faculty at their host university.

The California Cooperative Research Unit, established in 1967, and modified in 2008, is located in Arcata, California on the northern California coast at Humboldt Bay. The Unit is affiliated with the College of Natural Resources and Sciences, Humboldt State University.

Topics addressed by current projects include the ecology of salmon and steelhead, the ecology of fish in coastal lagoons, physical and chemical processes in streams and lakes. The Unit also conducts and facilitates research on wildlife topics including: the distribution of oceanic birds and mammals, amphibian ecology and wetland ecology.

For more information about the California Cooperative Fishery Research Unit, visit the following website:  http://www.humboldt.edu/cuca/.

SECTION 13.2 – TELONICHER MARINE LABORATORY

The mission of the Humboldt State University Telonicher Marine Laboratory is to provide a center for marine and environmental science teaching and research. The primary emphasis of the laboratory is teaching, however, student and faculty research is active. Additionally, the laboratory provides public displays that focus on interpretation of marine science and the marine environment.

The Humboldt State University Marine Lab occupies a 16,200 square feet building overlooking the Pacific Ocean, near Trinidad Bay, Trinidad Beach, and Trinidad Headland. The Lab is ideally located for accessing several local marine habitats and geological formations including an extensive rocky intertidal zone, sandy beaches, mud flats, protected and exposed subtidal areas, several lagoons and estuaries, and submarine canyons. It is well equipped for instruction and research in the marine sciences. Specialized facilities include a photographic darkroom, a culture room for larval invertebrates and algae, a wet lab for rearing marine invertebrates and fish for research; and, technical assistants with a complete shop for design and fabrication of experimental equipment.

In addition to the standard biological and oceanographic laboratory equipment, special equipment includes UV-Vis double beam spectrophotometer, Technicon Auto Analyzer, Gas Chromatograph, Liquid Scintillation Counter, Laser Particle Analyzer, various research microscopes including phase interference, inverted, and polarizing, with digital still or video and 35mm photomicrography capabilities, video equipment, high speed refrigerated centrifuge, incubators, Ro-Tap sieve shaker, computer lab with T-1 line to the campus main frame and internet, pH meters, various analytical balances including an electro-balance, X-ray machine and numerous other items.

The seawater system supplies classrooms and numerous holding tanks ranging in size from 30 gallons to 1400 gallons. Seawater is pumped from Trinidad Bay into storage tanks above the Lab. The water is gravity fed to a sump then pumped through sand filters and chillers before entering the lab.

For more information on the Telonicher Marine Laboratory, visit the following website:  http://www.humboldt.edu/marinelab/.
SECTION 13.3 – MARINE WILDLIFE CARE CENTER

The Marine Wildlife Care Center was dedicated February 21, 1997, to care for oiled seabirds in the event of a spill along California's North Coast. The center is a 4,500-square-foot facility on the Humboldt State University campus. It is part of a network of wildlife emergency response centers along the California coast, established by the Department of Fish and Game's Office of Spill Prevention and Response (OSPR). The center serves the area from Point Arena to the Oregon border, with rooms for triage, washing, drying, recovery, temporary caging, and operations management.

During non-emergencies, HSU maintains the facility and uses it for laboratories and classrooms for its wildlife studies program. In the event of an oil spill, the building is immediately transformed into a rescue center. Funding was provided by the California Department of Fish and Game and California Department of Fish and Wildlife.

Under normal conditions, HSU maintains the facility and uses it for laboratories and classrooms for its wildlife studies program. In the event of an oil spill, however, the Center is immediately transformed into a rescue center. It has been activated twice to care for oiled birds, in 1997 and in 1999. When the facility has been activated as a rescue center, student and community volunteers have been key in providing rescue support, including collecting oiled birds from beaches, caring for birds at the facility, and assisting with a multitude of services required to keep the Center running.

SECTION 13.4 – SCHATZ ENERGY RESEARCH CENTER

The Schatz Energy Research Center (SERC) was established in 1989, thanks to a generous endowment from Dr. Louis W. Schatz, president of General Plastics Manufacturing Company of Tacoma, Washington. The mission of the SERC is to promote the use of clean and renewable energy. SERC has two facilities at HSU: the Schatz Solar Hydrogen Project and the Schatz Fuel Cell Laboratory.

The Schatz Solar Hydrogen Project: This project was initiated in the fall of 1989 with the goal of demonstrating that solar hydrogen is a reliable and abundant energy source that is ready for use today. Located about 20 minutes from SERC's main facility, this full-time, automatic standalone energy system takes advantage of the solar hydrogen cycle to power the air compressor that aerates the aquarium at Humboldt State University's Telonicher Marine Laboratory in Trinidad, California.

The Schatz Fuel Cell Laboratory: This Center on the HSU campus is one of the foremost fuel cell development laboratories. We design, fabricate, and test fuel cells, and integrate fuel cell stacks into power systems for a variety of uses: small, portable remote power systems for locations far from the electric grid, vehicle power systems, and demonstration/education packages. SERC's fuel cell systems have proven to be among the most reliable and efficient in the world.

At SERC's fuel cell facility creativity is the center's biggest asset. They have developed and patented a low-pressure design that yields a high net system efficiency and are finding new ways to reduce the volume and weight of our systems and to simplify their design. Our fuel cell stacks are engineered to withstand extreme environmental conditions. They have operated successfully in the heat of Palm Desert, California and in the cold of Alaska.
The Humboldt Marine and Coastal Sciences Institute, or HMCSI, will support collaborative research across the university and strengthen HSU’s partnerships with local, state and federal agencies.

The Humboldt Marine Sciences & Coastal Institute was formed in 2013 to develop and promote interdisciplinary marine and coastal research, education, and outreach at HSU. The vision of MCSI is to develop a robust community of HSU students and faculty actively engaged in interdisciplinary research on marine and coastal systems. This research will occur at the interface of the sciences, policy, and economics, and will support vibrant partnerships with local, national, and international organizations.

The institute also builds on the university’s existing programs in Oceanography, Fisheries Biology, Marine Biology and Scientific Diving, as well as facilities—like the Telonicher Marine Lab in Trinidad and the R/V Coral Sea—that were developed out of a long-standing involvement with the marine environment.

The institute will bring together the university’s more than 20 marine scientists and faculty from a variety of disciplines—oceanography, marine biology, fisheries biology, geology, environmental planning and science, environmental engineering and politics—to study the social and ecological aspects of the North Coast. Potential partners include the National Oceanic and Atmospheric Administration, the U.S. Forest Service and local tribes.

For more information about the newly formed institute, go to https://www.humboldt.edu/marinelab/msci.htm.

Updated 8/7/14

The mission of the Humboldt State University River Institute is to conserve and restore river ecosystems locally, nationally, and internationally through multi-disciplinary research, education, policy reform, improved management practices, and creative restoration strategies.

The River Institute will:

- Be a catalyst for promoting interdisciplinary river ecosystem research.
- Inspire the next generation of river ecologists and innovative restorationists to achieve long-term river ecosystem health.
- Mentor students in the field of river ecosystem sciences and management through courses, seminars, field trips, guest speakers, internships and research assistantships.
- Inform the public about issues critical to river health and provide opportunities for participation.
- Communicate river science to policymakers to affect scientifically-defendable policy reform.
• Demonstrate how using a river ecosystem perspective will improve our restoration strategies/planning and everyday management actions.

For more information about the Institute, visit: http://humboldt.edu/riverinstitute/.

Updated: 8/7/14

SECTION 13.7 – INSTITUTE FOR SPATIAL ANALYSIS

The Humboldt State University Institute for Spatial analysis (ISA) was established in 2006 as a focal point for the advancement of spatial research, innovation and application. The ISA is dedicated to the expansion of spatial analysis methodologies across disciplines and the full spectrum of real world issues. We work closely with governmental, public and private sector entities to achieve this goal.

The Institute evolved from predecessors established as early as 1995 including the Klamath Bioregional Assessment Research Project, the Spatial Information Systems Institute (SISI) and the Advanced Spatial Analysis Facility (ASAF). The ISA has grown to support a wide range of projects and activities for research involving spatial analysis and modeling. The facility serves as a focal point for graduates and faculty form across campus to effectively utilize geographic information systems (GIS) and image processing technologies in a wide variety of projects and research.

For more information, please visit http://www.humboldt.edu/isa/index.html.

Updated August 27, 2014

SECTION 14 – HEALTH & SAFETY

SECTION 14.1 – WORKPLACE VIOLENCE PREVENTION PROGRAM

All faculty and staff are responsible for using safe work practices, for following all directives, policies, and procedures, and for assisting in maintaining a safe and secure work environment. This policy addresses not only acts of physical violence and aggression, but also threatening behavior (intimidation, harassment, and coercion). It is the responsibility of students, faculty, and staff to take any threatening behavior and/or violent act seriously and to report it to the appropriate university authority.

For more information on this subject, see Executive Memorandum 96-04 and University Management Letter 01-04 or go to http://www.humboldt.edu/policy/PUML-01-04Workplace-Violence-Prevention-Program.

SECTION 14.2 – HAZARDOUS MATERIALS

Given the complexity and importance of safe handling of hazardous materials, the College of Natural Resources and Sciences employs a Hazardous Materials Technician (HMT) to work with administrators, faculty, staff, and students to ensure compliance with university EH&S.
**policy and procedures, plus local, state, and federal hazardous materials regulations.** It will be the HMT’s responsibility to identify any problems with hazardous materials management and to ensure remediation of any problems. That does not mean the HMT will necessarily do the remediation, but s/he will work with the responsible parties to ensure that THEY eliminate the problems.

The HMT reports directly to the Associate Dean, as the Dean’s designee, who will work with the HMT to identify priorities for his/her time. The HMT duties entail some or all of the following:

**Environmental Health**
- identify hazardous waste streams
- respond to threatened or actual releases of small hazardous waste spills at the operational level ("isolate and notify")
- work with the stockroom, laboratory, and technical personnel to procure materials and supplies necessary for the management of hazardous wastes
- facilitate proper labeling, containment, and preparation for pick-up of hazardous wastes
- maintain an updated inventory of hazardous materials for business plan reporting requirements
- maintain and make available as needed a list of MSDS sheets for hazardous materials that are available in the College

**Occupational/Laboratory Safety**
- serve as the CNRS liaison to EH&S Chemical Hygiene Officer to assure compliance with the University Chemical Hygiene Plan
- facilitate training of CNRS personnel (students, staff, faculty, and administrators) per applicable regulatory requirements
- institute and maintain hazardous materials safety procedures
- conduct (or insuring the conduct of) compliance surveys/inspections of each CNRS lab at least every other month, identifying remediation procedures, and monitoring timely completion of remediation efforts

Given the above general responsibilities, the immediate priorities of the position are as follows:

1. Work on compliance surveys/inspections of all CNRS labs
   a. The HMT shall develop baseline surveys/inspections for all college spaces where hazardous materials are stored, used, or generated including stockrooms, instructional labs, research labs, and preparatory rooms.
   b. The HMT shall use a common report form to detail space conditions that will be sent to the faculty contact/principal investigator or stockroom supervisor, departmental technical support staff, department chair, and Dean’s Office; the report shall include appropriate remediation recommendations to bring the space into compliance with all applicable local, state, federal, and university laws, regulations, and/or policies.
   c. Once all of the baseline surveys/inspections are completed, the HMT shall make a detailed inspection of all spaces noted in 1.a. above at least twice per annum and prepare a report for distribution as noted in 1.b. above. Between the HMT inspections, lab inspections shall be completed by the faculty contact/principal investigator or stockroom supervisor at least every two months.
   d. Primary responsibility for implementation of the remediation recommendations shall rest with the person responsible for the space. The HMT may help in the remediation efforts as time permits and need dictates.
2. Develop and administer hazardous materials safety training protocols for CNRS personnel using the following priority:
   a. student assistants working in laboratories or stockrooms; faculty contacts/principal investigators for spill/cleanup protocols
   b. graduate students (both teaching and research)
   c. undergraduates (where actual training is completed by faculty or graduate students)
   d. technical staff
   e. faculty contacts/principal investigators for non-spill safety training
   f. oversight personnel including chairs and the Dean’s Office
3. Develop spill/cleanup protocols and training programs for CNRS personnel using the priority list in 2 above.
4. The HMT may help in remediation efforts as noted in 1.d. above as follows:
   a. by recommending materials and supplies necessary for the management of hazardous materials and waste
   b. by facilitating proper labeling, containment, and preparations for pick-up of hazardous materials
   c. by facilitating the development and maintenance of an inventory of hazardous materials for the business plan reporting requirements
   d. and by maintaining a list of MSDS sheets for hazardous materials that are available in the CNRS.
5. The HMT shall develop hazardous materials handling and disposal protocols for all relevant spaces noted above.
6. The HMT shall develop a chemical storage plan by hazard class including the storage and handling of carcinogens.

For safety, legal, and liability reasons, the efforts of the Hazardous Materials Technician as outlined above are a high priority of the Dean’s Office. Please provide your full cooperation with the HMT as well as with other technical staff in trying to deal with these difficult issues.

Recommendation approved by Council of Chairs, October 15, 1998
Approved by Dean, October 15, 1998
Editorial corrections August 2000
Editorial corrections and update June 2005
SECTION 14.3 – LABORATORY SAFETY GUIDELINES

Laboratory Safety Guidelines are outlined in Appendix B.
Added June 2005

SECTION 14.4 – STANDARD OPERATING PROCEDURE FOR STUDENT OR EMPLOYEE INJURIES IN THE CNRS

The Standard Operating Procedures for student or employee injuries are outlined in Appendix C. Individual departments may have additional and more specific guidelines as well as those listed.

SECTION 14.5 – RODENT TRAPPING AND HANTA VIRUS RISK MANAGEMENT

The risk of developing a disease (i.e., acute respiratory distress syndrome) related to exposure to rodents infected with Hantaviruses is small, but the proportion of people who die following diagnosis remains high. Consequently, safety guidelines for handling traps, soiled bedding from traps, and captured rodents are necessary (see Appendix D).

SECTION 14.6—SMALL BOAT SAFETY POLICY

The operation of small, motorized watercraft is integral to the educational, research mission of Humboldt State University. The purpose of the Small Boat Safety Policy (Appendix E) is to ensure the safe operation of motorized watercraft under the auspices of Humboldt State University and the Humboldt State University Sponsored Programs Foundation. The purpose of this policy is to ensure that all boating under HSU auspices is conducted in a safe, prudent and efficient manner; and to familiarize participants with the basic procedures that affect their own safety and the safety of their fellow users. Any person designated as an HSU small-boat operator is required to observe the provisions of this policy.

SECTION 15 – USEFUL CALCULATIONS

Appointment Base for Tenured/Probationary Faculty: WTU/12 (semester); WTU/24 (annual)
Appointment Base for Temporary Faculty: WTU/15 (semester) or WTU/30 (annual)
Full-time Equivalent Faculty [FTEF] WTU/15
Full-time Equivalent Student [FTES] SCU/15
Section Size Factor Normative Ratio x K-Factor/12
Student Credit Units [SCU] [Number of students enrolled] x [Class units]
Student Faculty Ratio FTES/FTEF
Student Faculty Ratio [Quick and Dirty Method] [Enrollment] x 0.8/ k-factor
Weighted Teaching Units [WTU] [Class units] x [k-factor]
Weekly Student Contact Hours [WSCH] = [Faculty contact hours] x [Enrollment]
Hourly Wage of 12 month Employee Monthly wage/173.33
Hourly Wage of Academic Year Employee Annual Wage/9 x 1/172
Revised: 10 November 1997
Revised 12 December 2006

SECTION 16 – ABBREVIATIONS / ACRONYMS

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>AAS</td>
<td>Administrative Analyst/Specialist</td>
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<tr>
<td>AJS Report</td>
<td>Actual and Justified Sections Report</td>
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<td>ASA</td>
<td>Administrative Support Assistant</td>
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<tr>
<td>ASC</td>
<td>Administrative Support Coordinator</td>
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<td>ASB</td>
<td>Associated Student Body</td>
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<tr>
<td>ASF</td>
<td>Assignable Square Feet</td>
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<tr>
<td>AY</td>
<td>Academic Year</td>
</tr>
<tr>
<td>BOT</td>
<td>Board of Trustees</td>
</tr>
<tr>
<td>CAHSS</td>
<td>College of Arts, Humanities, and Social Sciences</td>
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<tr>
<td>CBA</td>
<td>Collective Bargaining Agreement</td>
</tr>
<tr>
<td>CDPS</td>
<td>Curriculum Data Processing System</td>
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<tr>
<td>CFA</td>
<td>California Faculty Association</td>
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<tr>
<td>CICD</td>
<td>Center for Indian Community Development</td>
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<tr>
<td>CMS</td>
<td>Common Management System (PeopleSoft)</td>
</tr>
<tr>
<td>CNRS</td>
<td>College of Natural Resources and Sciences</td>
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<tr>
<td>CO</td>
<td>Chancellor's Office</td>
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<tr>
<td>COPS</td>
<td>College of Professional Studies</td>
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<tr>
<td>CPEC</td>
<td>California Post-secondary Education Commission</td>
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<tr>
<td>CPHS</td>
<td>Committee for the Protection of Human Subjects</td>
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<tr>
<td>CRED</td>
<td>Center for the Resolution of Environmental Disputes</td>
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<td>CS</td>
<td>Course Classification [C-classification]</td>
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<td>CSR</td>
<td>Course Section Report</td>
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<tr>
<td>DMD</td>
<td>Designated Market Discipline</td>
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<td>EE</td>
<td>Extended Education</td>
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<td>EPR</td>
<td>Educational Programs and Resources</td>
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<tr>
<td>ES</td>
<td>Environmental Systems Graduate Program</td>
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<td>Equipment Technician</td>
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<td>FAD</td>
<td>Faculty Assignment by Department Report</td>
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<td>FAR</td>
<td>Faculty Activity Report</td>
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<td>FCH</td>
<td>Faculty Contact Hours</td>
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<td>FERP</td>
<td>Faculty Early Retirement Program</td>
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<td>FSA</td>
<td>Faculty and Staff Affairs</td>
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<td>FTEA</td>
<td>Full-time Equivalent Administrator</td>
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<td>FTEF</td>
<td>Full-time Equivalent Faculty</td>
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<tr>
<td>FTES</td>
<td>Full-time Equivalent Student</td>
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<td>FY</td>
<td>Fiscal Year</td>
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<td>GA</td>
<td>Graduate Assistant</td>
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<tr>
<td>Abbreviation</td>
<td>Description</td>
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<tr>
<td>GE</td>
<td>General Education</td>
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<tr>
<td>GR</td>
<td>Graduate</td>
</tr>
<tr>
<td>GSA</td>
<td>General Salary Adjustment</td>
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<td>GTA</td>
<td>Graduate Teaching Assistant</td>
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<td>HEERA</td>
<td>Higher Education Employer-Employee Relations Act</td>
</tr>
<tr>
<td>HEGIS</td>
<td>Higher Education General Information Survey</td>
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<tr>
<td>HOP</td>
<td>Humboldt Orientation Program</td>
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<td>IACUC</td>
<td>Institutional Animal Care and Use Committee</td>
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<tr>
<td>IAF</td>
<td>Instructional Administrative Fraction</td>
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<tr>
<td>ICC</td>
<td>Instructional Computing Consultant</td>
</tr>
<tr>
<td>ICLM</td>
<td>Induced Course Load Matrix Report</td>
</tr>
<tr>
<td>IFF</td>
<td>Instructional Faculty Fraction</td>
</tr>
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<td>INRSEP</td>
<td>Indian Natural Resource, Science, and Engineering Program</td>
</tr>
<tr>
<td>IRA</td>
<td>Instructionally Related Activity</td>
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<tr>
<td>IRB</td>
<td>Institutional Review Board</td>
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<tr>
<td>ISA</td>
<td>Instructional Support Assistant</td>
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<tr>
<td>IST</td>
<td>Instructional Support Technician</td>
</tr>
<tr>
<td>ITC</td>
<td>Information Technology Consultant</td>
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<tr>
<td>ITEPP</td>
<td>Indian Teacher and Educational Personnel Program</td>
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<tr>
<td>IUPC</td>
<td>Initiating Unit Personnel Committee</td>
</tr>
<tr>
<td>LD</td>
<td>Lower Division</td>
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<tr>
<td>LOA</td>
<td>Leave of Absence</td>
</tr>
<tr>
<td>LWOP</td>
<td>Leave Without Pay</td>
</tr>
<tr>
<td>MCO</td>
<td>Minor Capital Outlay</td>
</tr>
<tr>
<td>MEP</td>
<td>Minimum Essential Program</td>
</tr>
<tr>
<td>MOU</td>
<td>Memorandum of Understanding</td>
</tr>
<tr>
<td>MPP</td>
<td>Management Personnel Plan</td>
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<tr>
<td>MSA</td>
<td>Merit Salary Adjustment</td>
</tr>
<tr>
<td>MSF Fee</td>
<td>Materials, Services, and Facilities Fees</td>
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<tr>
<td>MVO</td>
<td>Motor Vehicle Operation</td>
</tr>
<tr>
<td>NHM</td>
<td>Natural History Museum</td>
</tr>
<tr>
<td>OAA</td>
<td>Office for Academic Affairs</td>
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<tr>
<td>OEM</td>
<td>Office of Enrollment Management</td>
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<tr>
<td>OE</td>
<td>Operating Expenses</td>
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<tr>
<td>PAF</td>
<td>Personnel Action File</td>
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<tr>
<td>PBSI</td>
<td>Performance Based Salary Increase</td>
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<tr>
<td>PCP</td>
<td>Program Change Proposal</td>
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<tr>
<td>PDS</td>
<td>Personnel Data Sheet</td>
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<td>PMP</td>
<td>Program Maintenance Proposal</td>
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<tr>
<td>PPD</td>
<td>Physical Planning and Development</td>
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<tr>
<td>PSSI</td>
<td>Performance Salary Step Increase</td>
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<tr>
<td>SCAL</td>
<td>Summary by Classification and Level</td>
</tr>
<tr>
<td>SCH</td>
<td>Student Credit Hour</td>
</tr>
<tr>
<td>SCOBF</td>
<td>Standing Committee on Budget and Finance</td>
</tr>
</tbody>
</table>
SECTION 17 – USEFUL INTERNET RESOURCES FOR DATA

Analytic Studies Home Page (for general data needs)
http://www.humboldt.edu/anstud/

Program Review Data (for general data needs)
http://www.humboldt.edu/anstud/progreview.shtml

Majors Headcount
http://www.humboldt.edu/cgi-bin/cgiwrap/anstud/filter.pl?relevant=majors_10yrs.out

FTES by subject
http://www.humboldt.edu/anstud/reports/ftesdetl.pdf

FTEF by subject
http://www.humboldt.edu/anstud/reports/ftefdetl.pdf

SFR by subject
http://www.humboldt.edu/anstud/reports/sfrdetl.pdf

Degrees Awarded by major
http://www.humboldt.edu/cgi-bin/cgiwrap/anstud/filter.pl?relevant=degs_maj_both_ay.out

Expenditure (Cost-ratio) data
http://www.humboldt.edu/anstud/info/Expenditure%20Per%20FTES%20Ratios.pdf

Report finder for general information (general data needs)
http://www.humboldt.edu/anstud/reports.shtml
Class load reports (official enrollments at census)
http://www.humboldt.edu/oaa/classload.html

Class schedule (summary enrollments—not in real time)
http://www.humboldt.edu/oaa/classes.shtml

Instructor Teaching Schedule
http://www.humboldt.edu/oaa/fac-schd.shtml

Classroom schedules index (classroom availability and capacities)
http://www.humboldt.edu/oaa/roomgrid-index.shtml

Seat Availability Notification Email (SANE)
http://www.humboldt.edu/cgi-bin/cgiwrap/anstud/filter.pl?relevant=sane.out

Faculty Assignments by Department (FAD)
http://www.humboldt.edu/hsu_only/oaa/fad-index.html
DRAFT HSU Field Trip Guidelines/Checklist

___ Review HSU Field Trip Policy

___ Investigate Site, Develop and Document Plans for Activity.

___ Complete arrangements with owner/manager of site/area and support services if any.

___ Contracts and agreements (access, food, leases, lodging, rental agreements, support services, transportation etc.) must be reviewed and signed by University Contracts and Procurement Services.

___ If proof of insurance is required, complete Request for Hold Harmless (Insurance) Form and send to the Human Resources and Risk Management Department.

___ Identify risks, analyze impact of risks, develop and implement plans to reduce risk to participants, leaders, self and others. See the Risk Assessment Matrix and Planning Form for assistance in this process.

___ Provide students with:

   ___ Advance notification of required field trips.
   ___ Written instructional agenda including health and safety instructions.
   ___ Information about the site/area.
   ___ Emergency procedures including emergency phone numbers and contacts.
   ___ Information regarding applicable rules of conduct.
   ___ Training for any equipment to be used.

___ Identify and arrange accommodations for students with special needs.

___ Arrange for transportation. It is recommended that students provide their own transportation to and from field trip sites whenever possible. Alternatives are:

   . Commercial Transportation - contact Contracts and Procurement to arrange for buses, ships, airplanes, etc.

   . Rented vehicles - contract through University or State contracted vehicle rental agencies whenever possible. See Management Memo MM 05-01 for list of agencies. All drivers must be state employees or identified University Volunteers by completing CSU Volunteer Form and must be authorized to drive vehicles on University business (contact HSU Plant Operations for procedure).

   . Car pools may be organized, however, all drivers must be state employees or identified University Volunteers by completing CSU Volunteer Form. Use of personal vehicles on University business requires completion of Form.
**STD 261 Authorization to Use Privately Owned Vehicle** and approval by HSU Plant Operations.

___ Complete **Field Trip Participant Roster**. A copy of the completed roster goes with you, to your department office and University Police. In addition, you should take “roll” at the beginning and end of the field trip and retain a copy of the “roll sheet” following completion of trip. Students leaving during the field trip should sign out on a **Sign out Release Agreement**.

___ Other specific responsibilities for leaders of field trips related to accidents include:

  . Emergency Response
  . Reporting Incidents and Accidents

  **STD 268 Report of Non-Vehicle Accident**

  . Reporting Vehicle Accidents

  **STD 270 Report of Vehicle Accident PDF**

**Extended (Domestic) Field Trips**. (2+ days and/or extensive logistics)

___ Have the student sign the **Student Participation Agreement***

___ Have the student sign the **Medical Authorization**.

___ Provide a written Emergency Plan* including emergency contact numbers for emergency services at field trip destination(s), University personnel, field trip leaders, etc.

*Retain documents until the third full academic year following the field trip.

**Air Travel** See **Executive Order 590**. Contact HR & Risk Dept. for assistance.

**International Travel** - Contact Study Abroad Program at 826-3942 for specific requirements.

**Voluntary Field Trips** - Voluntary field trips offered by the University shall include the execution of a **University Activity Release Agreement**. Contact the Human Resources & Risk Mgt. Dept. for additional information if needed.
APPENDIX B – LABORATORY SAFETY GUIDELINES

DRAFT

General

- First-aid kits are available in various locations (see instructor/stockroom personnel for additional information).
- In case of an accident of any kind, notify the instructor immediately. If the instructor is not available, notify the next responsible individual (department chair → stockroom personnel → CNRS Hazardous Materials Technician → Environmental Health and Safety → University Police). If you need medical treatment, you will be promptly taken to the Student Health Center or a local hospital.
- Perform no unauthorized experiments.
- Horseplay, pranks, and other acts of mischief are strictly prohibited.
- Work with chemicals only after you have learned about their potential hazards. Then, proceed with caution. Read and be familiar with available Material Safety Data Sheets (MSDS), which outline safety information for chemicals and some biological agents. Learn proper handling for all chemicals you are about to use, including first aid response and handling minor spills.
- You are required to determine the hazards of any chemical before you use it. For example, ask yourself the following:
  - What are the greatest risks from using this chemical? How can I minimize these risks?
  - In what form is this chemical most hazardous? Least hazardous?
  - Can I arrange my work so that chemicals are used in the least hazardous manner?
  - If I have to transport this chemical what is the safest way to do so?
  - How would I respond if the chemical is spilled?

Consult with faculty and/or staff, if necessary, when you are working with any chemical with which you are not intimately familiar. Departmental personnel may not be available for consulting outside of normal work hours. Remember, if you haven’t determined the hazards of the chemicals and procedures you will be doing, you cannot do the experiment!

- A list of chemicals and biologic organisms utilized in laboratory courses is available to any student upon request to the instructor. Safety precautions to be taken, as outlined in the department safety regulations, are available to any student upon request to the instructor. Students who are pregnant or who learn of their pregnancy while enrolled in a laboratory course, should consult with their health care provider about possible health consequences of exposure to chemicals and biologic organisms on the list. The University makes no representations as to the effects of exposure to these substances on pregnant women or fetuses. The University strongly urges the pregnant student to consult her health care provider prior to enrolling or continuation in the course.
- Gloves, eye protections, lab aprons, and lab coats provide personal protection against many laboratory hazards.
Never work in the laboratory alone. Whenever possible, it is recommended that you work during the normal University work day.

Visitors to the lab while you are working are prohibited unless specifically authorized beforehand by your instructor.

Shoes must be worn in the laboratory at all times. Open shoes or sandals provide no protection from contact hazards. It is also unwise to go barefoot anywhere within buildings that contain chemical laboratories.

You are allowed to work in the laboratory only during the laboratory times for which you are enrolled, or for which you have gotten written permission from your instructor and approval from the instructor of the laboratory in which you wish to work.

Do not attempt to slow down or stop centrifuge rotors with your hands! Always let the centrifuge come to a complete stop before opening the lid to the rotor chamber.

Learn the location and use of safety equipment, including the emergency shower eyewash, fire extinguisher, and fire blanket.

Do not force glass tubing into rubber stoppers or rubber tubing. First make sure that the ends of the glass tubing are fire polished. Then, lubricate both the rubber and the glass with a mixture of water and either glycerol or aerosol OT. Hold the glass tubing as close as possible to the rubber and then insert the glass with a slow, twisting motion. In addition, protect your hands from possible injury from broken glass by using a towel or piece of cheesecloth.

Wash your hands well before you start work and before leaving the laboratory.

Do not use any equipment until you have been authorized to do so by the person responsible for the equipment and are properly trained.

**Eye Protection**

You should wear approved eye protection (safety glasses or goggles) in the laboratory whenever you or anyone in the lab is doing any experiment where there is a splash or flying particle hazard. Eye protection must meet ANSI Z87.1 impact standards and have indirect ventilation splash protection.

If you should get an irritating or corrosive substance in your eye, move quickly to the emergency eyewash and irrigate your eyes thoroughly for at least 15 minutes. Do not delay; a difference of a few seconds can be crucial for the recovery of your eyes. Have someone notify the instructor of the accident so you can be taken to the Student Health Center immediately after the initial 15 minutes of eye irrigation.

Sunglasses are not approved for eye protection safety.

**FIRE HAZARD**

In case of fire, notify instructor as soon as possible.

Learn the locations of the fire extinguisher(s), the fire blanket, and emergency shower/eyewash and learn how to use these devices. Towels soaked with water are very efficient at smothering small fires.

Confine long hair and loose clothing in the laboratory. Hair is surprisingly flammable.

Never use flammable substances near open flames or sparks.

Revised: August 2005
CONTACT HAZARD

- If you should spill a corrosive substance on your skin or clothing, wash it off with copious amounts of water for at least 15 minutes. Do not hesitate to use the safety shower if the exposure is large.
- Notify the instructor of any such exposure/spillage as soon as possible; (s)he will provide any necessary secondary treatment and will arrange for transportation to the Student Health Center or hospital, as necessary.

INGESTION HAZARD

- Never eat, drink, or taste anything in the laboratory; this includes food and water. Do not bring food and water into the laboratory, even if you are not going to eat it there. Never drink water from a beaker; instead use the drinking fountain in the hall.
- Smoking is not permitted in University buildings.
- Do not use mouth suction when filling a pipette. Use a suction bulb, aspirator, or automatic pipettor and follow the instructions of your laboratory instructor.

INHALATION HAZARD

- Experimental operations that generate toxic or noxious fumes should always be performed in a hood.
- When using the hood, make sure that the sash is drawn to below the indicator lines and that the hood is drawing sufficiently.

CHEMICAL LABELING

- All solutions and mixtures generated must have a complete label listing the chemical name completely spelled out (no formulas or abbreviations only) and the hazards associated with the chemical (i.e. corrosive, flammable, toxic, oxidizer).
- Chemical inventory monitoring requires the following information also be included on the label of prepared reagents: preparer’s name, date made-up, shelf life, target organs, academic course the chemical was made for and any other helpful information.
- Stockroom personnel can provide additional help and details for complete chemical labeling.

WASTE AND CLEAN-UP

- Excess chemicals must be disposed of properly; they generally cannot be recycled. Therefore, do not take more of a chemical than is needed for an experiment. You may obtain more later if you find that you have underestimated your needs.
- All chemicals must be disposed of in an approved manner. Do not put any chemical down the sink unless specifically told to do so by your instructor. If you are not certain of the proper disposal technique, check with your instructor or the stockroom personnel.
- Biohazards require specific handling and discard procedures. Familiarize yourself with them. MSDS are available for some biohazardous organisms.
- Never put solids down the drain. Put solids in the appropriate trash containers.
- Each day, before you leave your lab bench, clean off the bench surface. Wipe down the surface with the appropriate cleaner.
• Dispose of broken glass in the appropriate, designated waste container. Use a dustpan and broom to sweep up broken glass. Do not pick broken glass up with your hands.

• Sharp discards such as used coverslips, slides, razor blades, syringe needles, etc. must not be discarded into the trashcans. Use only special containers provided in the lab for this purpose.

CHEMICAL SPILLS

• Chemical spills require special handling in most cases. Before you begin working, know the proper procedures and be sure to have the necessary clean-up materials on hand and know how to use them. In the event of a chemical spill, large or small, consult your instructor or the stockroom personnel as to the appropriate method of clean up.

• A spill of any size should always be reported to your instructor, even if it did not require any outside assistance to clean up.

• Response to a spill situation involves the use of the acronym SIN: Safety, Isolate, Notify

• You should not clean up a spill if you feel it is unsafe to do so. This includes if you do not know what the material is, you lack the necessary protection or clean-up material to do the job safely, if the spill is large (more than the amount you usually work with), the material is highly toxic or, if you feel any physical symptoms of exposure (eye irritation, difficulty breathing, coughing, dizziness, nausea, skin irritation, etc.)

• If you cannot clean up the spill, you should confine and contain the spill only if it is safe to do so by using absorbent pillows or vermiculite to dike and absorb. Keep people away and call for help.

• If the instructor is not available during a spill situation, notify the next responsible individual (department chair → stockroom personnel → CNRS Hazardous Materials Technician → Environmental Health and Safety → University Police).

• When metallic mercury is spilled, watch closely to see where the droplets go. Then, avoid stepping on them and notify the laboratory instructor immediately so that proper decontamination procedures can be instituted.

IN CASE OF AN EMERGENCY DO NOT HESITATE TO USE ANY OF THE PROVIDED SAFETY FACILITIES

Persons to consult with questions regarding safety:

• IN AN EMERGENCY, CALL UPD AT x5555 or 911

• Your instructor

• Stockroom personnel

• HSU Environmental Health & Safety, SBS 305, phone x5702

APPENDIX C - STUDENT OR EMPLOYEE INJURIES

Standard Operating Procedure for Student or Employee Injuries in the CNRS
Revision date: May 2005

Laboratory Supervisor: See current Laboratory Supervisor list in the Laboratory Specific Chemical Hygiene Plan

Locations covered by this SOP: College of Natural Resources and Sciences
Exhibits:

A. Flow Chart of Procedure
B. Example of Accident Report Form STD. 268
C. Example of Supervisors Injury Prevention Report Form STD. 620
D. Example of Employee’s Claim for Worker’s Compensation Benefits

INTRODUCTION
Specific procedures must be followed to ensure that student and employee injuries are taken care of in an appropriate manner. The following instructions list the procedures for notification, chemical injuries, medical care and required reports. The flowchart in Exhibit A gives a brief overview of actions to take depending on the time and the circumstances of the incident.

RESPONSIBILITIES
The Instructor/Supervisor is responsible for assuring that the requirements of this SOP are followed by all persons in the CNRS under their direction.

PROCEDURES

NOTIFICATION
The instructor/supervisor or an available designee should notify at least one of the following in order of availability: Stockroom, Dept. Chair, Building Coordinator, Dept. Office or Dean's Office.

MINOR FIRST Aid
If the injury is such that it only requires basic first-aid treatment (e.g. from a first aid kit), the injured person should contact the instructor/supervisor to acquire the needed items (bandage, etc.). If you are in a chemical lab, it is important that you notify the lab supervisor of any need for first aid items. In the event of a cut or puncture wound that is potentially dirty, the person should be advised to check their tetanus status. If it has been more than five years from the last booster, they should receive another booster within several days.

OTHER, NON-EMERGENCY FIRST AID
If the injury is a first-aid injury that cannot be treated in the laboratory, the person should be escorted to the Student Health Center. Note that the Student Health Center is open weekdays between 9:00 a.m. and 4:30 p.m. during the fall and spring semesters. Between 8:00 a.m. and 9:00 a.m. or between 4:30 and 5:00, use the doorbell located at the front of the Student Health Center to gain access. If possible, call the Student Health Center at x5036 to notify them that you are bringing an injured person.

If the Student Health Center is not open (e.g., during the summer session) or after 5:00 p.m. and more than basic first aid is required, contact the University Police (x5555 or 911) to arrange for an ambulance transport to Mad River Hospital.

EMERGENCIES
Injuries that require emergency treatment should be referred to the University Police (911 or x5555) who will send an officer and arrange ambulance transport to Mad River Hospital. If you are uncertain as to whether the injury qualifies as an emergency, consult the Student Health Center at x5036.

CHEMICAL INJURIES
Provide a printed copy of the Material Safety Data Sheet (MSDS) to accompany the injured person to the Student Health Center or Mad River Hospital. If unable to provide...
prior to transport, fax MSDS to the Student Health Center at x5042 or Mad River Hospital Emergency Room at # 826-8292 as soon as possible, including the name of the patient. If the injured person is being transported to Mad River Hospital, if possible, also provide a copy of this Standard Operating Procedure (SOP) to the injured person. The Student Health Center or hospital may call the stockroom or department office for further information regarding any chemicals or to contact the instructor. If office or stockroom personnel are unavailable, contact the CNRS Dean’s office at 826-3256.

**RETURN TRANSPORTATION FROM THE HOSPITAL TO CAMPUS**

Return transportation from the hospital should be arranged from the patient’s friends, faculty/staff, or University Police if they are available to do so. If transportation is unavailable from University Police, contact the CNRS Dean’s Office at 826-3256.

**FORMS/PAPERWORK**

**Student Injuries**

An Accident Report Form STD. 268 (See Exhibit B for an example) must be filled out by the Supervisor/Instructor within 48 hours of the injury/incident. The original form is submitted to Contracts, Procurement and Risk Management with a copy to the Department Office.

**Employee Injuries**

A Supervisor’s Injury Prevention Report Form STD 620 (see Exhibit C for an example) must be filled out by the supervisor/instructor within 24 hours of the injury/incident. The original form is submitted to Human Resources, with copies to Environmental Health and Occupational Safety and the department office. An Employee’s Claim for Worker’s Compensation Benefits Form (see Exhibit D for an example) may also need to be completed. The Employee’s Claim for Worker’s Compensation Benefits Form is also available online at [http://www.humboldt.edu/hsuhr/employee/compensation/index.html](http://www.humboldt.edu/hsuhr/employee/compensation/index.html)
REQUIRED FORMS:

**Student Injury Report Forms**
- Accident Report form STD. 268
  - Original to Contracts, Procurement and Risk Management
  - Copy to Department Office

**Employee Injury Report Forms**
- Supervisor's Injury Prevention Report STD. 620
  - Original to Human Resources
  - Copy to Health & Safety
  - Copy to Department Office

*If needed, Employee's Claim for Workers' Compensation Benefits Form*
EXHIBIT B
Example of Accident Report Form STD 268 (front)

STATE OF CALIFORNIA
ACCIDENT REPORT
(Other than Motor Vehicle)
STD. 268 (REV. 1A-99)

This report should be completed and distributed within 48 hours of the incident. Attach any photos or diagrams.

Injured Party Information

<table>
<thead>
<tr>
<th>Injured Party's Name (Last, First, M.I.)</th>
<th>Birth Date</th>
<th>Driver's License Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Injured Party's Mailing Address (Street, City, State, Zip)</th>
<th>Home Telephone Number</th>
<th>Work Telephone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

Nature and extent of apparent/claimed injury (Describe incident in detail on reverse.)

Photographs taken: Yes or No

Property Damage/Loss Information

<table>
<thead>
<tr>
<th>Property Owner's Name (Last, First, M.I.)</th>
<th>Home Telephone Number</th>
<th>Work Telephone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
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</tbody>
</table>

Property Owner's Mailing Address (Street, City, State, Zip)

Nature and extent of damage/loss (Describe in detail on reverse of this page)

Witness Information

<table>
<thead>
<tr>
<th>Witness's Name (Last, First, M.I.)</th>
<th>Witness's Mailing Address (Street, City, State, Zip)</th>
<th>Telephone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<tr>
<td>2.</td>
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<tr>
<td>3.</td>
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</tbody>
</table>

Driver's License Number:

<table>
<thead>
<tr>
<th>Driver's License Number</th>
<th>Address</th>
<th>Telephone Number</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

<table>
<thead>
<tr>
<th>Reporting Employee's Name and Title (Print or Type)</th>
<th>Telephone Number</th>
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<tbody>
<tr>
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<table>
<thead>
<tr>
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<th>Telephone Number</th>
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</table>

<table>
<thead>
<tr>
<th>Reporting Employer's Supervisor's Name and Title (Print or Type)</th>
<th>Telephone Number</th>
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</tbody>
</table>

Distribution: Original - Office of the Attorney General, Tort Unit, P.O. Box 286959, Sacramento, CA 95828-6959
Copy - Office of Risk and Insurance Management, 1556 J Street, Suite 505, Sacramento, CA 95814 (or 510 445 2500)
Copy - Retained by Reporting Agency

EXHIBIT B
Example of Accident Report Form STD 268 (back)
EXHIBIT C
Example of Supervisors Injury Prevention Report Form STD 620
### EXHIBIT D

**Example of Employee’s Claim for Worker’s Compensation Benefits Form**

(Available online at [http://www.humboldt.edu/~hsuhr/ECF.pdf](http://www.humboldt.edu/~hsuhr/ECF.pdf))
EMPLOYEE’S CLAIM FOR WORKERS’ COMPENSATION BENEFITS

If you are injured or become ill because of your job, you may be entitled to workers’ compensation benefits.

Complete the “Employee” section and give the form to your employer. Keep the copy marked “Employee’s Temporary Receipt” until you receive the dated copy from your employer. You may call the Division of Workers’ Compensation at 1-800-736-7401 if you need help in filling out this form or in obtaining your benefits. An explanation of workers’ compensation benefits is included on the back of this form.

You should also have received a pamphlet from your employer describing workers’ compensation benefits and the procedures to obtain them.

Any person who makes or causes to be made any knowingly false or fraudulent material statement or material representation for the purpose of obtaining or denying workers’ compensation benefits or payments is guilty of a felony.

Employee

1. Name, Address, State, City, Zip Code, Phone
2. Home Address, Dirección Residencial, Estado, Código Postal, Teléfono
3. City, City, Dirección Residencial, Estado, Código Postal
4. Date of injury, Fecha de la lesión, Hora y fecha, a.m., p.m.
5. Address and description of where injury happened, Dirección y lugar donde ocurrió el accidente
6. Social Security Number, número de seguro social del empleado

Signature of employee, Firma del empleado

Employer

1. Name of employer, Nombre del empleador
2. Address, Dirección
3. Date employer first knew of injury, Fecha en que el empleador supo por primera vez de la lesión o accidente
4. Date of claim was filed, Fecha en que se le entregó al empleado la póliza
5. Name and address of insurance carrier or adjusting agency, Nombre y dirección de la compañía de seguros o agencia administradora de seguros
6. Signature of employer representative, Firma del representante del empleador
7. Title, Título
8. Telephone, Teléfono

Employer: You are required to date this form and provide copies to your insurer or claim administrator and to the employee, dependent or representative who filed the claim within one working day of receipt of the form from the employee.

SIGNING THIS FORM IS NOT AN ADMISSION OF LIABILITY

Employer’s Copy/Copia del empleador

Date

Revised: August 2005
APPENDIX D – RODENT TRAPPING AND HANTA VIRUS RISK MANAGEMENT

The risk of developing a disease (i.e., acute respiratory distress syndrome) related to exposure to rodents infected with hantaviruses is small, but the proportion of people who die following diagnosis remains high. Consequently, safety guidelines for handling traps, soiled bedding from traps, and captured rodents are necessary (see Appendix D).

Deermice (*Peromyscus*) serve as the main reservoir for hantaviruses in the western United States. Other species (e.g. *Neotoma lepida* and, rarely, *N. fuscipes*), however, are occasionally found to be infected and could be infective to people. Most transmission to humans occurs via dust contaminated with feces or urine from infected mice. Such dust can be associated with nesting materials in cabins, sheds, houses, woodrat (or other rodent) nests, or in box traps (i.e., Sherman live traps).

**Precautions to Minimize Risks of Exposure to Hantaviruses in California**

Minimal standards should vary with perceived risks. For example, studies of *Peromyscus* in the desert southwest should warrant more precautions than studies of *Neotoma* in California. In all cases, these standards should at least include the following:

- Providing adequate education to students and staff about the risks of exposure to hantaviruses. This could include routine trapping and handling rodents to cleaning and storing used traps.

- Participation in any class-related experiences with a risk of exposure should never be required or coerced.

- Personal protective equipment (PPE) including disposable examination gloves, face shields, rubber boots, and the option of being fitted with HEPA-filtered masks, should be provided for those working in potential exposure areas. Alternatively, students should be provided information on how and where to purchase such items.

- Students should not be allowed to clean dusty rooms where mice have been nesting (old field station rooms, cabins, etc.) without proper PPE.

- Traps containing mice or contaminated with feces/urine, or dirty bedding should be handled out-of-doors whenever possible. Potentially contaminated traps should never be handled in closed rooms with poor ventilation.

- Individuals handling rodents or traps should position themselves so that the mouse and traps are positioned downwind.

- Individuals checking traps for captures should not stick their faces into traps to inspect the contents.

- Soiled bedding, fecal material, dust from dirty traps, and gloves should be disposed of in double-bagged garbage bags clearly marked as potentially infectious animal waste.
• Traps should be cleaned with disinfectant (Lysol or 10% bleach), rinsed thoroughly, and allowed to air dry after each use and before storage (not necessarily each day, but certainly each time traps are packed up or returned to storage).

• Individuals who develop progressive difficulty breathing or a serious cough within 45 days of potential exposure should seek immediate medical attention.
APPENDIX E SMALL BOAT SAFETY POLICY

I. Introduction

The operation of small, motorized watercraft is integral to the educational and research mission of Humboldt State University. The purpose of the Small Boat Safety Policy is to ensure the safe operation of motorized watercraft under the auspices of Humboldt State University and the Humboldt State University Sponsored Programs Foundation. The purpose of this manual is to ensure that all boating under HSU auspices is conducted in a safe, prudent and efficient manner; and to familiarize participants with the basic procedures that affect their own safety and the safety of their fellow users.

Any person designated as an HSU small-boat operator is required to observe the provisions of this policy. All authorized operators shall be provided a copy for reference.

Contents: This manual contains policy and procedures for all motorized small boating operations including:
- Policy that pertains to all HSU boating operations.
- Requirements for obtaining operator certification.
- Administrative procedures for conducting the HSU small boating program, and
- Equipment and maintenance procedures and policies.

II. Applicability

This manual applies to motorized vessels 26 feet in length or less, used in sheltered nearshore waters, off shore waters, and in fresh or salt water systems. The provisions of this manual apply whenever HSU or HSU Sponsored Projects Foundation personnel are operating a small boat with motor under HSU or HSU Sponsored Projects Foundation auspices, whether or not HSU owns the boat. Specific examples of boat operations under HSU or HSU Sponsored Projects Foundation auspices include but are not limited to: persons engaged in instruction and/or research; employees acting within the scope of their employment; students engaged in any research operation including those receiving or providing boat operation instruction or involved in boat checkouts; and boat operations conducted in educational activities sponsored by HSU or HSU Sponsored Projects Foundation. Small motor boats used under HSU or HSU Sponsored Projects Foundation auspices fall into three categories:

1. Boats at the Telonicher Marine Laboratory
2. Boats owned by specific HSU or HSU Sponsored Projects Foundation programs
3. Privately owned boats used for HSU or HSU Sponsored Projects Foundation research

Additionally, boats hired by HSU or HSU Sponsored Projects Foundation that are not hired with an operator will be treated as if it were an HSU boat and operated by an approved operator. Boats hired with an operator will comply with all USCG regulations when in United States waters. In foreign waters, the responsible HSU or HSU Sponsored Projects Foundation person shall insure that the chartered vessel has safety and navigational equipment on board consistent with USCG regulations. This may entail the person chartering the vessel to bring his or her own safety equipment.
III. Responsibility

**Dean of the College of Natural Resources and Sciences**
The Dean of CNRS will ensure that the faculty are in compliance with the small boat safety policy. Failure of faculty to comply may result in disciplinary action.

**Associate Dean of the Marine Sciences**
The Associate Dean of Marine Sciences (ADMS) oversees the Small Boat Safety and Operations Technician (SBSOT) and consults with the Small Boating Safety Committee (SBSC) and the Dean of CNRS. The office of the ADMS will serve as a repository for all documents pursuant to this policy.

**Small Boat Safety Committee**
The Small Boat Safety Committee (SBSC) will serve as an oversight committee for small boating operations. It will consist of three faculty representatives with extensive (motorized) small boating experiences with the best possible representation from academic departments within the CNRS. Representatives will be appointed by the Dean of CNRS and have at least 5 years of specific and recent experience as a small boat operator. Each member of the committee will serve a 3 year term. The SBSC will act in an advisory role to the Dean but will neither enforce nor implement the policy. The SBSC, in consultation with the ADMS, will advise users and will assist in conflict resolution by assessing any safety issues and making recommendations to the Dean. The SBSC will be responsible for any changes in policy. A general operation plan will be reviewed by the SBSC and SBSOT at the beginning of each semester for users of small boats during that semester under the auspices of HSU.

**Principal Investigators**
Principal Investigators (PIs) are personally responsible for assuring that all boat operations that are part of a program under their direction, are conducted in accordance with this manual. PI’s who operate boats that are either owned by individual HSU programs, privately owned, or are registered boats used for HSU research are required to meet the same safety standards as HSU boats and to have on board the safety equipment as outlined in Appendix 1.

Principal investigators must determine that all individuals assigned to boat operations related to their projects are properly authorized as described in Section V of this manual.

**Small Boating Safety Officer and Technician (SBSOT)**
Working with the Associate Dean of Marine Sciences and the SBSC, the SBSOT will ensure the safe operation of small boats used in the Humboldt State University academic programs. Duties of the SBSOT include, but are not limited to, operational authority for the HSU Small Boat Program, certification of operators, approval of a boat request form/float plan submitted to them for review, maintenance of boats, and ensuring compliance with this manual by all operators of HSU boats. (see personnel section).

With the approval of the Associate Dean of Marine Sciences and the SBSC, the SBSOT may delegate duties to qualified HSU faculty or staff (notably certification of operators), although the SBSOT will not delegate responsibility for the safe conduct of the small boat program.

The SBSOT can suspend boating operations that are considered unsafe and will bring these situations to the SBSC in a timely manner. He/she will ensure that all boats are in full compliance with U.S. Coast Guard requirements.

The SBSOT reports to the Associate Dean of Marine Sciences and consults with the SBSC.

**Maintenance**
The University will provide technical support to carry out basic maintenance on the outboard engines, trailers, and hulls in the small boating program.
IV. Operations

Operator

Only persons who have been approved as HSU boat operators may operate small motorboats under HSU or HSU Sponsored Projects Foundation auspices, whether or not the boat is owned by HSU or HSU Sponsored Projects Foundation. Exceptions may be granted for vessels run by non-HSU or owner/operators with approval of the HSU SBSC. In U.S. waters, all operators must comply with USCG regulations. In foreign waters, the operator shall operate the vessel under their control consistent with USCG regulations. The designated boat operator is responsible for all aspects of boating operations, regardless of any senior personnel present in the boat. These responsibilities include, but are not limited to:

1) safe transport of the vessel to and from the launch site, if applicable.
2) the safe navigation of the vessel to and from the site(s) of operation.
3) the safe operation of all equipment, either in the collection of data or the handling of the vessel.
4) ensuring that all required operational and safety equipment is on board before getting underway, and that it is properly cleaned and stowed upon return.

Failure to comply with these provisions may be cause for the revocation or restriction of the operator's authorization. However, any operator may deviate from the requirements of this manual to the extent necessary to prevent or minimize a situation that is likely to cause death, serious physical harm, or major environmental damage. Other exceptions must be a priori directed to the SBSOT and/or the SBSC.

V. Authorization of the Operator

All operators must be officially authorized to operate a motorized boat. To become an authorized boat operator, one must demonstrate proficiency in safe boat operations, knowledge of the “rules of the road”, and familiarity with the operation of safety equipment. To satisfy these requirements all operators must demonstrate to the SBSOT, the SBSC, or their designee proficiency in the above requirements by means of a practical exam and documentation of an approved safe boating course or at sea experience. The breadth and diversity of this experience are such that they will be evaluated on a case-by-case basis by the SBSOT and the SBSC. The U.S. Department of Interior, the California Department of Boating & Waterways, the U.S. Coast Guard Auxiliary, and the U.S. Power Squadron offer courses that are acceptable boating courses. The operator will be familiar with the proper care and operation of equipment and safety procedures that are unique to that boat, and documentation of that familiarity shall be maintained in written records. In-water practical exams, administered by the SBSOT or member of the Boat Safety Committee, will be the final step in granting operator authorization. All operators must be at least 18 years of age and be physically capable of safely operating the boat under their supervision.

The SBSOT, in consultation with the Boat Safety Committee, has the authority to limit authorizations to personnel that restrict operators to use of certain boats and/or in certain waters. The SBSOT or authorizing official may designate the authorization as a “trainee” (may only operate the boat under direct supervision of an authorized operator) or “operator” (independent operations, but consistent with experience and skill such as in protected waters or open ocean).

VI. Instruction and Evaluation for inshore and protected waters operations

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Revised: August 2005
A. Course Objectives:
A course at Humboldt State University will be made available to educate and provide information on boating and boating safety to all HSU motorboat operators. These operators include the faculty, students, staff, and approved volunteers of Humboldt State University on any operations associated with the educational and/or research mission or with Humboldt State University Foundation Sponsored Programs. The objectives of this course are to:

- provide attendees with specific skills and knowledge that will allow them to properly operate watercraft and make informed decisions about their own safety, and the safety of any crew member as well as the safety of the vessel, familiarize attendees with watercraft safety equipment and other gear through demonstration and actual use, and
- allow attendees to demonstrate through written examination and physical demonstration that they have an adequate grasp of motorboat handling techniques and knowledge to safely operate a motorboat.

B. Format:
We suggest that the fully prepared operator for inshore operation (including Humboldt Bay, local lagoons and other protected waters) will complete the following:

A. classroom instruction
B. hands-on instruction
C. Humboldt State University Check-out

C. Classroom instruction
This portion of the training could be satisfied by the proposed operator providing evidence of completion of one of the following courses:

Coast Guard course tailored for HSU (see below)
HSU small boating course (FISH 480 or OCN 480 *)
United States Department of the Interior (*)
USR Coaching Certification (*)
California Boating on-line course (*)

Any Coast Guard approved skippers license (minimum 6-pack license), or any course with the approval of the SBSC.

Please note evidence of training or consistent operational experience within the past five years is required. (*All documents will be kept on file and available for future use)

Coast Guard Course
This course would be two days long and offered once a semester and once during the summer or as demand requires. We propose that this course replace the HSU small boating courses previously offered in Fisheries (FISH 480) and Oceanography (OCN 480).

Course Curriculum (Coast Guard)
Vessel operations in Humboldt Bay and Lagoons
(starting and operation of motor, gauges, kill switches, lights, etc.)

Safety, safety gear, and preparation rules of the road
navigation, including local knowledge, use of tide tables, charts, GPS
instruction in weather analysis and wave forecasting
use of safety equipment (i.e. use of PFDs, flares, fire extinguisher…)
anchoring
towing and being towed at sea
steering, approaching piers, boats, etc.
Operating in hazardous conditions (fog, tides, currents, wind, etc.)
   including areas of special concern (Humboldt Bay mouth, Trinidad Bay, rivers, lagoons, mudflats)
Trailering (launching, retrieving and towing)
Basic boat maintenance and troubleshooting (engine failure)

D. Practical Instruction
This portion of the course will include a hands-on training session where each potential operator will be instructed in the safe operation of trailers and maneuvering of boats at sea. This training may be accomplished in connection with any of the above courses noted in section A. The potential operator must provide evidence of completion of the formal hands on training or show evidence of sufficient experience operating small boats.

E. Humboldt State University Checkout:
This portion of the training will include instruction on the small boating safety policies established at Humboldt State. All potential operators must participate in this checkout regardless of their experience. If an operator has been inactive for a period of 3 years, then a new check-out and test will be required. Training will include instruction in check out procedures and practices (forms), additional instruction on areas of special concern (Humboldt Bay mouth, lagoons, rivers mudflats), and familiarization with HSU small boats and safety equipment. Potential operators will discuss the appropriate contact numbers of people to call in case of emergency on land (with the trailer and truck) or at sea. Each potential operator, regardless of the nature of their training, will demonstrate their ability to safely operate trailers, maneuver small boats, and provide basic maintenance of all equipment.

F. Evaluator:
The SBSOT or a member of the SBSC will conduct the HSU checkout portion of this course.

VII. Instruction and Evaluation – offshore/nighttime operations and special operations
A. Classroom instruction
The boat operator will have instruction in advanced navigation skills including operation of GPS, use of nautical charts, and radio protocols. They will also be proficient in use of personal safety gear including survival suits, strobes, whistles and throw rings (following the United States Department of Interior (USDI) regulations).

B. Practical instruction
Special instruction for offshore (outside of protected waters), nighttime, and other special operations will include training in:
   operation of small vessels safely in ocean conditions common to the area of operation.
   making informed decisions at sea based on weather, personnel, and equipment.

C. Humboldt State University Checkout
Demonstrated ability to:
   operate small vessels safely in ocean conditions common to the area of operation.
   make informed decisions at sea based on weather, personnel and equipment.
Special Equipment:
   Vessels transiting off shore will have at least one of the following:
twin engines
alternative propulsion devices
a companion vessel

Each offshore vessel must have the following additional safety equipment and operators must demonstrate the ability to effectively operate:

all coast guard recommended equipment for boat type
VHF radio and backup communication plan for offshore and nearshore work
onshore contact
Cell phone required for all offshore work
EPRIB required for vessels working independently offshore
Survival gear consistent with USDI boat policy
Personal strobes for PFD’s and whistles
GPS and charts for area of operation
Appropriate rations of food and water for all aboard
Anchors for nearshore work

D. Evaluator:
The Small Boat Safety Operations Technician (SBSOT) or a qualified member of the SBSC will conduct the HSU orientation and checkout portion of this course for local operations.

VIII. Operating Requirements
1. Responsibility for safe operation rests with the boat operator. Principal investigators must ensure that operators under their supervision are following this manual and meet requirements outlined in the manual.
2. Boat operators will understand and abide by Federal, State, and HSU regulations for safety, rules of the road, vessel usage, operator authorizations, and appropriate equipment requirements.
3. The boat will be in good repair, be well maintained and seaworthy for its intended mission.
4. Accidents will be reported to the SBSOT.
5. Operators must develop an appropriate float plan with reasonable notifications and check-ins. Float plans should be filed so that overdue boats will be detected, which may mean developing local contacts with responsible parties when launching out of the Humboldt area. A sample boat plan is attached in Appendix B. For out-of-area operations, principal investigators will inform the SBSC of operations as necessary (at least once per operating season - this not in lieu of an appropriate float plan).
6. All appropriate or required safety, navigation, and communication equipment will be onboard during boat operation.
7. The operator will inform all on board of safety and accident procedures.
8. Smoking is not allowed aboard any HSU operated vessel.
9. Alcoholic beverages will not be consumed during small boat operations, either by the participants or the operator.
10. Operators shall ensure as far as possible that all participants are well oriented and not impaired by drugs or other substances such that safe operation is questionable for either operator or participants.
11. Operators must take all reasonable steps to ensure “local knowledge” when operating their craft. This shall include, but not limited to, reviewing appropriate charts discussions with local skippers, and USCG or NOAA advisories.

12. Weather forecasts will be checked prior to departure.

13. Operations not consistent with the above will require approval of the SBSC. Disagreements between the operator(s) and the SBSOT will be resolved by the SBSC.

14. Only authorized operators can operate motorized boats.

15. Failure to comply with regulations for operation of boats as described in this manual may result in revoking the authorization of the operator (to be recommended by the Small Boat Safety Officer to the Small Boat Safety Committee). Any disciplinary action for non-compliance for an operator or PI will be the prerogative of the Dean.

IX. Boats and Equipment

All boats and equipment used by authorized HSU or HSU Sponsored Projects Foundation operators in U.S. waters, regardless of ownership, will conform to U.S. Coast Guard requirements and to the standards set forth in this manual. A well maintained vessel is also a safe vessel. The SBSOT will ensure that boat maintenance and boat safety equipment are current.

All motorboats used by HSU or HSU Sponsored Projects Foundation personnel should have an installed data plate that designates the number of people and weight capacity according to the manufacturer's specifications. It is the responsibility of the operator to stay within these limits and to have all weight evenly distributed so that the boat will trim properly. If the manufacturer's specifications have been altered, or if a platform was designed and constructed for specific research, the trim and stability modifications may be comprised. It is the responsibility of the Principal Investigator to verify the stability of any modification with the SBSOT.

The operator shall be familiar with the operation of the equipment and shall inspect all emergency equipment prior to departure. The operator and/or crew-member shall notify the responsible supervisor (SBSOT, stockroom supervisor, PI, or project leader) of any malfunctioning equipment used during their operation. It is the responsibility of the operator and/or Principal Investigator(s) to replace or renew any equipment lost or damaged as a result of negligence or misuse by the operator. In the event of a disagreement as to responsibility for lost or damaged equipment, the Associate Dean of Marine Sciences will review the case and assign responsibility for replacing it. An equipment list for HSU or HSU Sponsored Projects Foundation boats is provided in Appendix A.

HSU or HSU Sponsored Projects Foundation boat operators will develop a formal communication plan of regular check-in. Appropriate communication equipment must be functioning and back-up means of communication should be considered.

Use of any boat is always contingent upon weather conditions. Responsibility for monitoring weather conditions prior to departure and during operations resides with the operator. When small craft advisories are issued by the National Weather Service for the waters of a planned operation, the crew of a vessel that is scheduled for operations within that area shall consider postponing the cruise until more favorable conditions prevail. Special permission to operate may be requested from the SBSOT or PI who has participated in the course in the past 3 years or has consistently operated a small motorized boat under this policy for the past 3 years.

X. Equipment, Checkout, Maintenance and Repair Equipment

1. Safety Equipment
Standard small vessel safety equipment will be provided for each vessel in boat boxes available for checkout on small vessels being used by HSU students, staff, faculty, or volunteers by reservation on a first-come first-serve basis. General use boat boxes cannot be guaranteed for extended periods and must be shared among users. Standard safety equipment for all boats will include the required Coast Guard safety equipment, boat maintenance kit, and basic electronics (list of equipment on file).

Checkout and maintenance and of safety equipment

The Small Boat Operations Technician (SBSOT) will conduct maintenance and check-out of all safety equipment. All boat equipment must be returned by the date and time indicated at check out. Late returns will result in the loss of checkout privileges. The person who has checked out the equipment is responsible for the full replacement value of items. If they are lost, broken, or stolen, the person who checked them out will be charged for the items. Equipment must be clean upon return. Any malfunctioning equipment should be brought to the attention of the SBSOT and will be reported to the supervisor or Principle Investigator.

2. Vessels and trailers

The vessels and trailers addressed in this proposal include, but are not limited to, the following:

Marine Lab operated vessels
- Sebastes (24’ aluminum dory)
- Pontoon Boat (26’ aluminum, for bay use)
- Commander (15’ fiberglass open deck)
- 2 small skiffs (12’ and 14’ aluminum boats)

Biology
- 16’ Whaler
- 2 inflatables – (16’ and 22’)

Fisheries Biology
- 19’ Bayrunner
- 14’ Gregor
- 18’ Electroshock boat
- 2 small skiffs
- 1 small inflatable

Wildlife
- 6 research; grant vessels (16’ and 14’ zodiacs)
- 1 12’ aluminum boat
APPENDIX F - SAFETY EQUIPMENT

Motorboats operating in coastal waters shall carry at least the following equipment:

1. One VHF radio. Cell phone also recommended
2. Class I, II, or III PFD for each person on board, plus one ‘throwable’ with at least 50’ of line. In cold water, offshore, or at long distances from safe harbor, PFD’s should also provide appropriate protection against hypothermia, and be equipped with noise producing devices and lights.
3. Anchor and anchor line
4. Oars or paddles
5. Signal flares: smoke flare(s) and > 3 pyrotechnic
6. Emergency repair kit and tools
7. Fire extinguisher on all motorboats with open spaces under decking
8. Fog horn or other signaling device
9. First aid kit

Suggested equipment:

1. Drinking water
2. Spare fuel
3. Sea anchor
4. Dock lines
5. Bailer
6. Boat hook

Refer to:
ABCs of California Boating Law by California Department of Boating & Waterways
http://dbw.ca.gov/pubs/ABC/index.htm

Appendix II. Sample Float Plan

HSU SMALL BOAT – FLOT PLAN

Date of Operation______________________

BOAT OPERATOR NAME______________________  Home Phone ________________

Boat Description
Make______________________ Length ____________________ Hull Color________________
Registration # (if applicable)________________Engine
Make___________________ HP_____

Boat/Engine--Responsible Party (PI, Dept., Marine Lab, etc.)_____________________________

POTENTIAL PERSONS ABOARD (in addition to operator)

1._____________________________ 4._____________________________
2._____________________________ 5._____________________________
3._____________________________ 6._____________________________

Equipment Checklist
___ VHF Radio  ___Bailer or manual bilge pump
___ Cell Phone  ___Fire Extinguisher
___ Type I, II, or IV PFD per person  ___Emergency repair kit
___ “Throwable” PFD with 50’ of line  ___First aid kit
___Anchor and anchor line  ___Food, water
___Oars, paddles, boat hook
___Flares, horn, signaling device  Cell phone #____________________
___Passenger briefing

TRIP EXPECTATIONS
Departure time______________am/pm  Launch/recovery site___________________
Area of operation or destination (be specific)___________________________________
Expected time of return_____am/pm
and IN NO CASE LATER THAN________am/pm

VEHICLE DESCRIPTION
Make___________________ Model________________________ Color_________________
License #________________________
Parked at (be specific)________________________

CONTACT PERSON– (check-in at end of trip)
HSU Small Boat-Diving Officer/Professor/Other (circle one & name)___________________

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INSTRUCTIONS FOR PREPARATION OF HSU SMALL BOAT FLOAT PLAN

A. Purpose
This form serves as a model that should be used where appropriate as an official record of intended boat use and for purposes of emergency notification in the event of a boating accident.

B. Where to get forms
Forms will be available from the HSU Small Boat/Diving Officer and the following departmental offices: Biological Sciences, Fisheries Biology, Oceanography, and Wildlife.

C. Where to submit forms
Forms should be submitted to the HSU Small Boat/Diving Officer and to the appropriate PI or PI designee.

D. Instructions
The HSU Small Boat – Float Plan must be filled out completely including the Equipment Checklist and cell phone number. With regard to Trip Expectations the “expected time of return” should reflect the time that your Contact Person can expect you back. The time given as “No Later Than” is the time at which, should you fail to return, the SBSOT or appropriate authority shall notify the Coast Guard and initiate a full search. Failure to close a float plan (i.e. notify contact person upon return) is a serious infraction that can result in the termination of boat use privileges.