



JOHNS HOPKINS

KRIEGER SCHOOL  
*of* ARTS & SCIENCES

## **KSAS Department Chairs Handbook**

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# Introduction

## Chair Responsibilities

This handbook is designed to help Krieger School of Arts and Sciences (KSAS) department chairs perform their jobs effectively. It is not a comprehensive manual, but it covers important topics and otherwise provides guidance on where to go for additional information.

Department chairs play a central role in the life of a department and in the leadership of KSAS. Department chairs work with departmental colleagues and administrators in the Dean's office to:

- Prepare a self-study for periodic program reviews and work to implement recommendations of internal and external review committees.
- Manage department budgets and resources, including space and equipment.
- Approve faculty leaves in a pattern that also ensures adequate course coverage.
- Devise hiring strategies in consultation with department faculty; propose new searches to the Dean.
- Oversee the hiring process, adhering to guidance from the Dean's office on process and best practices in diversity hiring.
- Ensure, annually, that all assistant and associate professors have an external and internal mentor and that all are aware of Dean's office guidelines.
- Conduct faculty tenure and promotion reviews.
- Assign service duties to the faculty.
- Coordinate with the DUS to plan the department's curriculum, ensuring that all required courses are taught, and key subject areas are covered annually.
- Make yearly projections on graduate student admissions and stay in close touch with the admissions committee.
- Assist with resolution of conflict between students and faculty and with issues of student wellness and mental health.
- Liaise regularly with the department's DGS, DUS, and Diversity Champion for status updates.

- Represent the interests of the department at the Council of Chairs meetings and in conversation with the Dean and Vice Deans.
- Supervise department administrator, conduct annual performance evaluation, and be involved in interviewing staff candidates.
- Develop a mechanism to ensure efficient transition to an incoming chair; this can involve working closely with a vice chair.
- Report or direct complaints of discrimination, harassment and /or retaliation to the Vice Provost for Institutional Equity, or Assistant Vice Provost for Institutional Equity and refer faculty to the Office of Institutional Equity where necessary.

While department chairs are the leaders of the department, it is important to recognize that they operate with a team of others, including:

- **Department Administrators.** Administrators serve as many students' first and most regular contact with the department. As such, they have a wealth of institutional knowledge that can help chairs to perform their duties. They provide day-to-day management of the department and their duties normally include course and room scheduling, reimbursements for approved purchases, travel from Faculty Research Budgets (FRBs), and departmental visitors, oversight of graduate funding, and budget reconciliation. Administrators are also in charge of managing the other staff in the department (academic coordinators, budget specialists, research grants specialists, etc.).
- **Director of Undergraduate Studies (DUS).** The DUS assists the chair in overseeing the department's undergraduate program and is responsible for ensuring the adequacy of course offerings, the effectiveness of the faculty advising system, student access to research opportunities, reviewing requirements for the major, and developing programs that enhance the sense of community among majors and facilitate interaction with departmental faculty. The DUS reports directly to the chair and to the vice dean for undergraduate education.
- **Director of Graduate Studies (DGS).** The DGS assists the chair in overseeing the department's graduate program and is responsible for the yearly admissions process, advising graduate students prior to their qualifying exams, graduate funding, and assigning graduate teaching. The DGS reports directly to the chair and to the vice dean for graduate education.

Many tasks of a department chair are cyclical:

Task	Begins	Ends	Initiated by
Curricular planning for spring	August	October	Office of the Registrar
Fall strategy meetings	October	November	KSAS Dean's Office
Curricular planning for fall	January	February	Office of the Registrar
Budget meetings	February	May	KSAS Dean's Office

Curricular planning for fall and spring: The registrar will request course information approximately six months in advance of each semester. Chairs should consult all members of the department on their plans for leave and course preferences (either by email or in a meeting for the purpose); courses should be assigned to ensure that there is adequate coverage of requirements at the undergraduate and graduate levels.

Fall strategy meetings: These conversations with the dean and relevant vice dean are an opportunity to address current and ongoing concerns for the department that do not bear directly on the budget.

Budget meetings: The chair and department administrator present an overview of the state of the department, the department's spending for the current fiscal year, and budgetary plans for the next year, including graduate funding and time to degree of current students (as it relates to the budget). In a separate discussion, the chair meets with the dean and relevant vice dean to discuss proposed faculty salary increases for the coming year and their justifications.

In the case of natural sciences, department chairs also:

- Monitor sponsored research activities.
- Lead strategic planning for research infrastructure within the department.
- Work with Homewood lab safety officers to ensure the highest standards in laboratory safety and to address any concerns or situations that need to be addressed.

In addition, the KSAS Dean's office holds Council of Chairs meetings regularly. These meetings bring all KSAS chairs together with the dean, vice deans, and divisional business officer to discuss current issues impacting the school.

Each of these tasks will be discussed in additional detail in subsequent sections of this handbook.

## Faculty Affairs

A number of key policies and links relevant to faculty affairs are described in more detail below but the [KSAS Faculty Affairs website](#) assembles these policies and procedures and relevant documents in one place, including:

- A downloadable version of the Krieger School Faculty Handbook
- Lists of academic departments, department chairs, centers, programs and institutes in the schools and their directors
- Links to the websites of governance bodies: The Shared Governance Council (SGC), the Faculty Senate, the Homewood Academic Council, the Homewood Faculty Assembly, and the Krieger School Staff Council
- A list of policies and procedures on:
  - Leaves of Absence
  - Appointments, Promotions and Interim (4<sup>th</sup> year) reviews
  - Procedures for appointing faculty to Academy Professorships
  - the KSAS Faculty search process (and related documents)
  - Guidelines for faculty mentoring (for associate and assistant professorships)
  - The form for reporting appointments at outside institutions
  - University and KSAS policies on Faculty Misconduct
  - University and KSAS policies on travel and business expenses (and the governing restrictions)
- A guide to onboarding for new faculty

## Bylaws

The Dean's office recommends that departments who have not adopted Bylaws consider adopting them, either using [a model we have provided](#) or that they devise them independently. We know that many departments operate on the basis of long-standing tradition and custom but, even in such cases, we recommend that chairs guide their colleagues through a process to write these down. Such a document need not be described as 'bylaws' but may also be 'guidelines' or descriptions of 'best practice', or a set of 'policies.'

Whether a department adopts bylaws we ask that all chairs guide their departments in

codifying the procedure your department uses or will use for voting in searches.

## Chair Selection Process

While all chairs are expected to serve a three-year term, the selection cycle is not synched, ensuring that in any given year, there are new chairs serving alongside more experienced chairs who can help them to adapt to their new roles. While at present there is no limit on the number of terms that a chair can serve, most departments work with a limit of two. In some departments chairs often serve for longer.

Chairs are appointed by, and serve at the pleasure of, the dean of KSAS, but in practice this means that the dean usually confirms a department's decision.

By tradition, many departments select a chair by asking two faculty members, either the previous two chairs, or two members uninterested in serving the next term as chair, to ask faculty individually about their preference(s). Increasingly, departments choose a chair democratically, allowing for nominations (including self-nominations), calling a meeting of all tenure-track and tenured faculty members in which candidates can present their vision for the department, and then voting by secret ballot. It is advisable to begin this process early in the last year of any chair's term to give an incoming chair opportunity to shadow the outgoing chair. It is useful to run candidates for chair by the dean before making a decision. Where departments elect their nominees for the chairship, these procedures are usually codified in Bylaws.

## Business Continuity

Johns Hopkins University is committed to quick and efficient preparedness, response and recovery in the event of a disruption to its normal business activities. There is a university-, campus-, and school-level Incident Command Structure (ICS) to contain and mitigate any crisis and to activate the business continuity plans as needed. University, campus, and school business continuity plans ensure that essential business operations continue when a natural disaster or other calamity disrupts the university's critical operations or services.

The school's incident command/business continuity structure is as follows:

ICS Position	KSAS Incident Command
Incident Commander	Kofi Ofori Back up 1: Bertrand Garcia-Moreno Back up 2: Linda Nathan
Public Information Officer	Kate Pipkin Back up: Nancy Gregoire
Safety Officer	Dan Kuespert Back up: Brian Schriver
Liaison Officer	Bess Vincent Back up: Rachel Hitchcock



Operations Chief	Fred Thomsen Back up: Clayton Haywood
Logistics Chief	Rebecca Swisdak Back up: Chyna Allen
Planning Chief	Chris Brown Back up: Linda Nathan
Finance/Admin Chief	Jerry Hicks Back up: Mary Louise Healy

In an actual incident, the senior associate dean for finance and administration is responsible for coordinating the school's response and business continuity efforts with university and school leadership. In addition, the executive vice dean and vice dean for undergraduate education have responsibility for the continuity of the school's research and educational activities. These individuals should be your main points of contact if you have questions or concerns about an incident or the school's business continuity efforts.

## Quick Contacts

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## Useful Documents and Resources

Item	Description	Location
<b>KSAS Faculty Affairs Website</b>	<p>Site contains:</p> <ul style="list-style-type: none"> <li>• electronic copies of handbooks</li> <li>• lists of academic departments, chairs, centers, programs and institutes and their directors</li> <li>• links to faculty governance bodies websites</li> <li>• policies and procedures governing faculty in the Krieger School</li> <li>• a guide to onboarding</li> </ul>	See: <a href="#">Faculty Affairs of the Krieger School of Arts and Sciences</a>
<b>Appointments &amp; Promotions</b>	<p>The Homewood Academic Council oversees appointments, promotions, and tenure for tenure-track faculty members. In the case of tenure, the Tenure Advisory Committee also reviews cases.</p> <p>The academic titles table contains key information about appointment procedures absent in the Description of Academic Titles document.</p>	See: <a href="#">Homewood Academic Council</a> <ul style="list-style-type: none"> <li>• <a href="#">Tenure Regulations</a></li> <li>• <a href="#">COVID Guidance for Assistant Professors</a></li> <li>• <a href="#">Appointment and Promotion Procedures (July 2023)</a></li> <li>• <a href="#">Tenure Appeals Process Summary Chart</a></li> <li>• <a href="#">Description of Academic Titles (October 2023)</a></li> <li>• <a href="#">Description of Academic Titles Table (July 2023)</a></li> <li>• <a href="#">RPT (Review Promotion and Tenure system) Department User Guide</a></li> </ul>
<b>Family and Medical Leave Policy</b>	For full-time tenured and tenure-track faculty, research faculty, teaching faculty, and other faculty as described in the “Academic Council Procedures Manual” of the Homewood Schools Academic Council.	See: <a href="#">Family and Medical Leave Policy</a>
<b>Sabbatical Leave Policy for Tenure Track and Tenured Faculty</b>	Salaried research leave is granted to research-active tenure-line faculty in support of research programs and must be used for that purpose.	See: <a href="#">KSAS Faculty Leave Policy</a>
<b>Guidelines for Teaching Faculty</b>	The Homewood Academic Council also reviews appointments and promotions for teaching faculty.	See: <a href="#">Homewood Academic Council Teaching Faculty Checklist</a>
<b>KSAS Pathway to Electronic Resources</b>	Information hub that provides resources and guidance to administrative staff in the Krieger School of Arts and Sciences.	See: <a href="#">KASPER</a> (requires JHED authentication)
<b>The Center for Teaching Excellence and Innovation (CTEI)</b>	CTEI is the teaching and learning center for the faculty and graduate students of the Krieger School of Arts and Sciences and the Whiting School of Engineering.	See: <a href="https://ctei.jhu.edu">https://ctei.jhu.edu</a>

<b>Academic Calendars</b>	One place where all the divisional academic calendars can be accessed.	See: <a href="#">Academic Calendars</a>
<b>JHU History and Mission</b>	Provides an overview of the mission and history of the university.	See: <a href="#">JHU History</a>
<b>KSAS History and Mission</b>	Provides an overview of the mission and history of the school.	See: <a href="#">School History and Mission</a>
<b>Faculty and Shared Governance Bodies</b>	These bodies provide a mechanism for faculty, graduate, and undergraduate students of the Krieger School of Arts and Sciences to participate more effectively in the deliberations and governance at Johns Hopkins University.	See: <a href="https://krieger.jhu.edu/governance-bodies/">https://krieger.jhu.edu/governance-bodies/</a>
<b>Ten for One Strategic Framework</b>	In spring 2022, the university released a draft of the new strategic framework for the university-the <i>Ten for One</i> , ten ambitious new goal for our One University through the end of the decade.	See: <a href="#">President Strategic Planning</a>
<b>Commissions on Undergraduate Education (CUE)</b>	To ensure Johns Hopkins continues to evolve and improve the way it prepares undergraduate students for future success, the President and Provost convened a Second Commission on Undergraduate Education (CUE2) in 2017. CUE2's charge was to interpret the mission of an undergraduate education in the 21st century and develop a new model that will serve us for the next decade or more.	See: <a href="#">CUE2</a>
<b>PhD Advising and Doctoral Board Policies</b>	The University Doctor of Philosophy Board reviews each PhD program regularly. The University requires every PhD-granting school to annually distribute the JHU Mentorship Commitments of Faculty Advisors and PhD Students to their students and faculty, and also engage in additional activities to support a climate of excellence in mentoring.	See: <a href="#">Doctor of Philosophy Board</a> <a href="#">PhD Mentoring Policies and Resources</a>
<b>HopkinsLocal Initiative</b>	An overview of Johns Hopkins University's commitment to the Baltimore community.	See: <a href="#">Hopkins Local</a> and <a href="#">BLocal</a>
<b>Johns Hopkins Second Roadmap on Diversity, Equity, and Inclusion</b>	The Johns Hopkins University Second Roadmap on Diversity, Equity, and Inclusion is based on a vision of Johns Hopkins as a pluralistic community that embraces the values and imperatives of diversity, equity, and inclusion as integral to our institutional missions and our	See: <a href="#">Second Roadmap on Diversity, Equity, and Inclusion</a>

	commitment to freedom of inquiry and expression.	
<b>Johns Hopkins University Leadership</b>	A current roster (in organization chart format) of the president’s cabinet and deans and directors of schools and departments in the university.	See: <a href="#">University Leadership</a>
<b>Johns Hopkins University Website</b>	Primary portal to all web content by Johns Hopkins University.	See: <a href="#">JHU Website</a>
<b>Provost’s Office</b>	Provost’s Office website that lists key initiatives and resources.	See: <a href="#">Provost Office</a>
<b>Finance &amp; Administration Organization</b>	Overview of the university’s finance and administration organization.	See: <a href="#">Finance and Administration</a>
<b>Office of Institutional Equity</b>	OIE ensures compliance with federal, state, and local laws related to affirmative action and equal opportunity; investigates discrimination and sexual harassment complaints; provides harassment prevention and disability services training; promotes campus diversity initiatives; and serves as a central resource for faculty, staff, and students with disabilities.	See: <a href="#">OIE</a>
<b>Johns Hopkins Compliance Line</b>	Resource to report instances of unethical or illegal acts. Anonymous reporting is available. Includes a non-retaliation provision.	<a href="#">Speak 2 Us</a> or 844-SPEAK2US (844-773-2528)
<b>JHU Policies</b>	Current list of JHU policies that is accessible via the internal website.	See: <a href="#">JHU Policies</a>
<b>Human Resources Website</b>	Portal to information about Human Resources at Johns Hopkins University.	See: <a href="#">HR</a>
<b>Campus Maps/ Information</b>	Overview of the primary buildings on the two main and some of the satellite campuses of Johns Hopkins University.	<a href="#">Homewood Campus</a> <a href="#">E. Baltimore Campus</a>



# **Administrative Tasks**

## The Faculty

The Homewood Academic Council recognizes three categories of academic titles. They are:

- **Tenured/Tenure-Track (T/TT).** These include Professor, Associate Professor, Assistant Professor, and Instructor (Assistant Professor pending PhD).
- **Teaching and Research Track (TRT).** These include Research Professor (full, Associate, and Assistant), Adjunct Professor (full, Associate, and Assistant), Research Scholar/Scientist/Engineer (Principal, full, Associate, and Assistant), Adjunct Research Scholar/Scientist/Engineer (Principal, full, Associate, and Assistant), Teaching Professor (full and Associate), Lecturer (Senior Lecturer, Lecturer, and Junior Lecturer), Visiting Professor (full, Associate, and Assistant), and Visiting Research Professor (full, Associate, and Assistant).
- **Other Appointments.** These include Professor Emeritus, Homewood Professor, University Professor, Post-Doctoral Fellow, Visiting Scholar, Fellow-by-Courtesy, and Doctor of the University.

The full description of academic titles and the referenced tables can be accessed on the [Homewood Academic Council website](#).

## Faculty Hiring and Retention

The strength of KSAS in research, teaching, and scholarship rests on the recruitment, promotion, and retention of excellent faculty. Because effective faculty recruitment is central to the success of the school, it is carefully managed. While the dean has sole authority to approve searches and formally make appointments, these decisions are informed by fall strategy meetings with the relevant vice dean and department chair. In each case, department chairs must submit a detailed search plan explaining how recruitment efforts align with the strategic vision of the school and the university. Departments that are authorized to hire must adhere to guidelines, best practices, and approval points with the appropriate vice dean, who monitors the search activities and verifies that a broad and deep candidate pool has been established.

The search process for full-time tenured and tenure track faculty has been laid out clearly in the [KSAS Faculty Search Process](#) document. All KSAS searches should also follow the recommendations of the [Best Search Practices](#) document. Any individuals serving on a faculty hiring committee will receive additional detail and documentation from the assistant dean for diversity and inclusion and/or the hiring manager.

When a faculty member is being actively recruited, the department chair meets with the prospective faculty member and then works with the relevant vice dean who devises an appropriate offer for approval by the dean and the budget office. When a faculty member has received an offer from another institution, the vice dean normally consults with the chair about the faculty member's contributions to department culture, diversity, and research for advice the dean regarding an appropriate course of action and/or retention package. When negotiations around retention have a very short time line, the vice dean will often have to negotiate directly with a

faculty member.

## Faculty Leave

The Krieger School of Arts and Sciences' commitment to support the research and professional development of its tenure-line faculty is reflected in opportunities for research leave. There are four principal categories of faculty research leave available:

- Junior faculty leave (for tenure-line assistant professors)
- Sabbatical leave (for tenured faculty)
- Externally supported leave (for tenured and tenure-line faculty)
- Unpaid leave (for tenured and tenure-line faculty)

For externally supported leave, the KSAS dean will consider requests for partial or full salary top-ups on a case-by-case basis. Significant considerations will be the prestige of the fellowship and the proportion of the faculty member's salary and benefits covered by the external fellowship or grant.

Full details about faculty leave can be found in the [KSAS Faculty Leave Policy](#).

A faculty member who desires to take paid or unpaid research leave must submit a completed and signed application for research to the department administrator by December 1 (for research leaves to be taken in the following academic year). Faculty in the natural sciences can submit the [Faculty Leave Application for the Natural Sciences](#) with the chair's signature to the Vice Dean for Natural Sciences. Faculty in the Humanities and Social Sciences can submit a request using this link: <https://kit.jhu.edu/ksasfacultyleaveform>. For additional information, please contact <mailto:ksasfacultyaffairs@jhu.edu>.

## Family and Medical Leave

Family and medical leave and parental teaching relief are separate from the salaried and unsalaried faculty research leaves outlined above and are described in a separate document at the following link: [The Homewood Schools Family and Medical Leave Policy for Full-time Faculty](#). Parental teaching relief is available to all full-time faculty; FML is available to full-time faculty and staff. A semester of parental teaching relief will not affect the sabbatical leave schedule but will not be counted as a teaching semester for purposes of qualifying for sabbatical leave.

A faculty member who desires to take leave should submit a request for FML in writing to their department chair 30 days prior to the beginning of leave, or as soon as possible, to allow departments to make arrangements for teaching, research, and mentoring. The department chair will forward the request for FML to the director of human resources (HR) in the Krieger School for approval as unpaid or paid FML, copying in the relevant vice dean. HR will provide the faculty member a provisional approval letter with any required certification forms and/or other relevant information related to the faculty member's request for FML. A copy of the provisional letter will be provided to the department chair and administrator. The faculty member must complete and return any required certification forms and/or other requested documentation in a timely manner as indicated in the information received from HR or leave time will automatically be subtracted from the 12-week allotment of FML for that rolling 12-month period.

For additional information, contact the Krieger Office of Human Resources located in Wyman Suite 600, 410-516-8220.

## **Faculty Activity Reports and Salary-Setting**

All full-time Krieger School faculty must submit a Faculty Activity Report and current CV each January. There are slightly different activity reports for tenured/tenure-track faculty, teaching faculty, and research faculty; however, each asks faculty to report on their teaching, advising, research, and service activities occurring within the last two calendar years. The Dean's office sends instructions to department and program administrators in December with a request that they circulate this with faculty. Reports are submitted to the department in January and shared with the Dean's office. Department chairs review the faculty activity reports when completing the faculty salary worksheets which are distributed by the KSAS business office. Chairs will set faculty salaries based on a salary pool included on the worksheets. The salary suggestions will be reviewed by the dean, relevant vice dean, and the department chair during the spring budget meetings.

## **Professional Development and Mentoring**

The primary goal of the [Krieger School of Arts and Sciences Faculty Mentoring Guidelines](#) is the career development of the school's tenure-line faculty members to support the instructional and research missions of the university. This principal goal includes the mentoring of assistant professors for successful promotion to associate professor with tenure, and the continued mentoring of associate professors as they develop their careers on the path toward promotion to full professor and full citizenship and responsibility within the school. Whatever the outcome of promotion decisions, mentoring is a key catalyst for the intellectual and personal growth of faculty and necessary to cultivate and enhance their research and teaching skills as well as their independence as scholars.

The KSAS Faculty Mentoring Program offers all tenure-track assistant and associate professors two senior mentors, one from within the department and one from outside of the department. Mentors are chosen by the department chair, in consultation, where necessary, with the relevant vice dean. Additionally, the mentoring program offers assistant and associate professors the opportunity to meet periodically in groups with other assistant and associate professors, with recently tenured associate professors, with senior faculty mentors, and with the vice deans. Workshops of potential interest to assistant and associate professors will also be provided on a periodic basis. Mentees can request, through their department chairs or vice dean, to change mentors when better progress can be achieved by doing so.

## **Interim Review (4th Year Review) of Assistant Professors**

As outlined in the [Appointment and Promotion Procedures](#) document, departments should review carefully the academic progress of each untenured faculty member annually, and the department chair should inform each person reviewed of the department's evaluation. It is particularly important that faculty members whose performance does not meet expectations be informed of the department's concerns, and that those concerns be openly discussed in a forthright, helpful manner.

In the fourth year of appointment of an assistant professor, the department prepares a formal report on the faculty member's progress. Any tenure clock extensions prior to the candidate's fourth year of appointment can delay the interim review. This interim review should evaluate accomplishment in teaching, scholarly research and service since the appointment, and assess to the extent possible the outlook for eventual promotion to tenured associate professor. The department may follow a procedure of its choosing in preparing the interim review, although departments are not encouraged to solicit outside letters.

The chair then drafts a letter to the faculty member, on behalf of the department, summarizing the interim review and making whatever recommendations may be indicated. If the senior faculty have explicit expectations for what needs to be accomplished before they would consider recommending conferral of tenure, these expectations should be made clear in the letter. However, care must be taken to avoid the implication that a positive recommendation would follow simply from the formal satisfaction of such requirements. The interim review must be endorsed by a vote of the tenured faculty in the department.

The chair then meets with the dean to discuss the interim review and the proposed letter. Interim reviews are due to the Dean's office no later than April 15 for faculty whose appointments began July 1-December 31 and no later than October 15 for faculty whose appointments began January 1-June 30. The dean may suggest changes to the letter, and may consult with the Office of the General Counsel on its wording. The dean and the chair must agree on the final form of the letter, which is then sent to the faculty member. Copies of the interim review and the letter are retained by the department and by the Dean's office, and they may be consulted when, subsequently, the faculty member is considered for promotion to tenure. To ensure the confidentiality and rigor of the review process, only the final letter and not the interim review itself is shared with the faculty member.

## **Tenure and Promotion Procedures**

Appointments are required in KSAS for all tenure-track and teaching faculty members. The Homewood Academic Council governs the policies and procedures for making faculty and other academic/research appointments in the Krieger School of Arts and Sciences and the Whiting School of Engineering. Regulations and procedures related to tenure, appointment, promotion, and the tenure appeals process are available on the [Homewood Academic Council website](#). This site also stores a variety of resources for the appointment, promotion, and tenure processes, such as template letters for referees, a dossier checklist, and a referee list template. This site also provides resources for ad hoc committees, including template letters to referees.

Currently, consideration of promotion to associate professor must be initiated by the department, in consultation with the faculty member. The process for considering a promotion to associate professor has nine stages:

1. Departmental review and decision whether to request solicitation of referee letters
2. Referee letter solicitation by an ad hoc committee
3. Departmental review and decision whether to request promotion

4. Dean's review
5. Ad hoc committee review
6. Academic Council review and recommendation to the President
7. Tenure Advisory Committee review and recommendation to the President
8. President's recommendation to the Board of Trustees
9. Final approval by the Board of Trustees

The process for considering a promotion to the rank of Full Professor, if successful, has seven stages:

1. Departmental review and decision whether to solicit referee letters
2. Referee letter solicitation by the Department
3. Departmental review and decision whether to request promotion
4. Dean's review
5. Academic Council review and recommendation to the President
6. President's recommendation to the Board of Trustees
7. Final approval by the Board of Trustees

In both tenure and promotion cases, department chairs participate in the first three steps of this process. Additional details about tenure and promotion procedures can be found in the [Appointment & Promotion Procedures document](#).

## **Tenure Advisory Committee**

The university's Tenure Advisory Committee (TAC) reviews tenure cases for each of the 9 constituent schools of Johns Hopkins University. The TAC consists of the provost and 13 senior faculty members who advise the president on the granting of tenure. KSAS faculty members who are being considered for promotion or appointment to tenured faculty positions prepare a dossier for review by HAC. If it is approved by HAC the dossier goes to the TAC for a second review and approval. If approved by the TAC, the dossier is sent to the President and the Board of Trustees for a final decision on case.

All dossiers that are reviewed by the TAC are submitted using Interfolio's Review Promotion and Tenure system. HAC has developed a [RPT Department User Guide](#) to help with this process. Questions can be sent to [homewoodac@jhu.edu](mailto:homewoodac@jhu.edu).

## Faculty Retirements and The Academy

A chair should not ask any faculty member about their plans for retirement unless that faculty member raises the issue first. When a faculty member suggests that they would like to retire in a specified window they should be referred to the relevant vice dean who will work with them to prepare a retirement agreement.

The title of Emeritus Professor may be awarded by HAC to faculty members who have retired from a full-time, tenured position as Professor. The title is granted in recognition of past accomplishment and a continuing relationship with the university. These individuals may continue to advise graduate students and to serve as Principal Investigators on grants, but cannot vote in Academic Council and Faculty Assembly elections, or in departmental appointment and promotion decisions.

To ask HAC to award the title of Emeritus Professor to a retiring faculty member, the chair should send a current CV and write a formal request letter to the relevant vice dean on department letterhead. It should include the tally of the faculty vote, the effective date of the appointment, and the scholarly achievements of the candidate, as well as how they envision the candidate will remain active with the department/university. Once reviewed, the vice dean will forward the letter, the CV, and their approval to [KSAS-ApptReq@jhu.edu](mailto:KSAS-ApptReq@jhu.edu). The proposal will also be reviewed by the Homewood Academic Council and the Board of Trustees.

The Academy at Johns Hopkins, Homewood Campus, is an institute for advanced study whose purpose is to foster the continued scholarship and research of retired faculty of the Krieger School of Arts and Sciences, the Whiting School of Engineering, the Peabody Institute, the School of Advanced International Studies, and the Carey Business School. The faculty within The Academy are a rich source of knowledge and experience and a vital element of the university's intellectual community.

The title of Academy Professor is automatically awarded to faculty members who are appointed Emeritus Professors but any faculty member who has retired from a full-time, tenured position as Professor, who remain active in the research community, and may join the Academy at Johns Hopkins and participate in its activities. These faculty members may continue to advise graduate students and to serve as Principal Investigators on grants but cannot vote in Academic Council and Faculty Assembly elections, or in departmental appointment and promotion decisions.

To apply for membership in the Academy a retiring faculty members should fill out an [enrollment form](#). In addition, the chair should send a current CV and write a formal request letter to the relevant vice dean on department letterhead to request that the title of Academy Professor be awarded to a retiring faculty member. The letter should include the tally of the faculty vote, the effective date of the appointment, and the scholarly achievements of the candidate, as well as how they envision the candidate will remain active with the department/university.

For additional information about benefits, policies, and membership, please visit [The Academy at Johns Hopkins](#) website.

## Teaching and Research Track Faculty

There are a number of non-tenure track faculty titles used to describe KSAS faculty all described in the [Descriptions of all Academic Titles document](#).

- **Research Faculty.** The ranks of Assistant Research Professor, Associate Research Professor, and Research Professor are appropriate for individuals who will be strongly involved in research activities and who have demonstrated an interest in, and talent for, working with students and participating in the broad range of university education and service activities.
- **Teaching Faculty.** The titles of Junior Lecturer, Lecturer, and Senior Lecturer are awarded to people who teach specific courses for remuneration, whether full-time or part-time, and whose primary appointment in the case of part-time lecturers may be at another institution or in a non-teaching division of the university. The titles of Associate Teaching Professor and Teaching Professor are awarded to people hired to teach full-time, on a long-term basis, without tenure and without the expectation that they will participate in research to the same extent as the tenure-track faculty.

## Other Appointments

In addition to the research and teaching titles noted above, there are other appointed titles in use in the school. A brief description of each follows, with additional detail available in the Descriptions of all Academic Titles document on the [Homewood Academic Council website](#).

- **Homewood Professor.** A Homewood Professor is a person of high scholarly, professional, or artistic distinction whose appointment brings luster to the university.
- **University Professor.** The title of University Professor may be accorded as a presidential prerogative to a few people of unusual distinction or stature, whose association with the university is deemed to have considerable mutual benefit.
- **Adjunct Professor.** An Adjunct Professor, Adjunct Associate Professor, or Adjunct Assistant Professor contributes in a part-time capacity to the research and teaching programs of the Krieger School and may receive remuneration for specific services performed.
- **Visiting Professor.** Visiting Professors, Visiting Associate Professors, and Visiting Assistant Professors are faculty members who possess the credentials to be appointed as Professor, Associate Professor, and Assistant Professor and are associated with the institution for a limited period of time.
- **Courtesy Appointments.** Appointments as Fellow-by-Courtesy or, in the case of more senior affiliations, as Doctor of the University, may be offered to people with appropriate qualifications, with whom a department wishes to maintain scholarly contact by way of participation in colloquia, research discussions, etc.



- **Visiting Research Faculty.** The titles of Visiting Assistant Research Professor, Visiting Associate Research Professor, and Visiting Research Professor pertain to appointments of persons who are on leave from other universities or scholarly institutions where they hold positions equivalent to those of Assistant Research Professor, Associate Research Professor, or Research Professor.
- **Research Staff.** The titles of Principal Research/Research/Associate Research/Assistant Research Scholar/Scientist indicate members of the research staff who are employed full time and whose salary derives largely or exclusively from grants and contracts. The titles of Adjunct Principal Research/Adjunct Research/Adjunct Associate Research/Adjunct Assistant Research Scholar/Scientist are for those positions that contribute in a part-time capacity to the research programs but do not ordinarily have significant ongoing responsibilities for undergraduate or graduate students. The title of Visiting Scholar/Scientist is for a person who is engaged in scholarly work full or part-time on campus for a limited period.

## Staffing / Human Resources

Departmental administrative functions are managed and executed by teams of staff that can include department administrators, academic program coordinators, budget analysts, research grant specialists, and others, depending on the needs of the department. Ongoing and professional communication should be the hallmark of the working relationship between chairs and administrators.

In general, staff are managed by and report to the department administrators. Chairs are expected to be involved in the operations of a department, but should rely on the staff to execute necessary tasks. Department chairs and administrators should discuss critical decisions that are made regarding administrative staff.

### Human Resources

Human Resources provides support services to the faculty and staff of JHU. HR services include:

- Oversight of payroll and compensation
- Recruitment/hiring
- Benefits
- Training and education
- Career management
- Organizational development
- Employment issues
- Performance management
- Policy development/implementation/interpretation

The Krieger Office of Human Resources [staff](#) provide information and consult in all of these areas. Department administrators coordinate with HR for support in the areas of salary/salary equity, benefits, hiring, performance evaluation, coaching/mentoring, training, career development, organizational development, and policy interpretation. In addition, the HR staff handles research appointments for postdoctoral fellows and research positions.

There is also an Office of the Vice President of Human Resources, and each division of the university has its own divisional office. Many of the individual schools of the university also have separate human resource managers to serve the HR needs of the individual school. You can find a listing of university human resources programs and offices on the [JHU HR website](#).

## Finances

Department chairs bear the ultimate responsibility for the safeguarding and sound management of their department's finances. A chair has several partners in this effort.

1. The **department administrator** is the primary financial resource within the department. They are involved in both the preparation and implementation of the budget and know what income and expenses have been planned, as well as the correct procedures for requesting funding, reimbursing expenses, etc. *Chairs should stay in close communication with their administrators on all financial matters, especially before making funding commitments or setting other financial processes in motion.*
2. The relevant **vice dean** works closely with departments to help develop financial strategies that maximize their resources and enable them to achieve their educational and research goals. You may also work closely with the divisional dean on broad financial issues that impact your strategic planning.
3. The **KSAS business office** works closely with departments to support their financial needs. Administrators from each department and the KSAS business office work as a team to ensure sound stewardship of fiscal resources. This team assists departments in developing an annual budget, identifying strategies for investing or conserving departmental funds, helping to interview staff candidates for positions that require financial expertise, dealing with any fiscal improprieties, and addressing a variety of other financial issues.

The KSAS business office welcomes regular communication with departments and is eager to involve departments more fully in the setting of sound fiscal policies. Chairs and administrators should not hesitate to contact the business office or the vice deans with any questions. A contact list follows on the next page.

For more information on university and KSAS financial policies and procedures, please visit <https://livejohnshopkins.sharepoint.com/sites/kasper/SitePages/finance.aspx>

### Department Chair's Fiscal Responsibilities

- The chair sets the appropriate tone for the department to ensure that the department follows university policies and procedures and maintains proper internal controls.
- The chair must safeguard the department's financial assets and other resources and ensure that they are used in optimal ways that support the academic priorities of the department and the university.
- The chair works with the department administrator to develop an annual budget.
- The chair should regularly review the departmental budget and expenditures from departmental accounts. The department chair is responsible for monthly review and signoff on financial statements on all operating and departmental gift and discretionary accounts.

- Administrators should provide chairs with a monthly statement of all balances and current expenditures for the year.
- The chair, with the support of the department administrator, ensures that the department operates within budgetary constraints each year.
- The chair, along with the dean and cognizant vice dean, reviews departmental faculty salaries annually and assigns increases based on performance as noted in the faculty activity reports, student evaluations, and other factors.
- The chair ensures that gift and endowment funds are used appropriately; i.e., according to the terms of the gift or the endowment fund.
- The chair and the department administrator ensure that the department has a process for monitoring grant expenditures and regulatory compliance. In the event of a projected cost overrun, the chair is responsible for working with the principal investigator to develop a remediation plan.

## **Process for Developing a Departmental Budget**

- The business office will work closely with chairs and department administrators as they prepare and submit their budgets, which will include all planned income and expenses from both unrestricted and restricted (endowments and gifts) sources.
- The business office will communicate budget guidelines, assumptions, and timelines with departments.

## Sponsored Research

The department chair is responsible for all sponsored funding-related compliance matters, as well as the scientific/programmatic conduct of projects and faculty advocacy. The department administrator carries out much of the day-to-day transactional and monitoring work, in conjunction with the KSAS Dean's Office Research Integration Team (DO RIT).

## Proposals and Awards

All proposals submitted for external funding are reviewed, approved, and tracked through an electronic routing system, Coeus (soon to be replaced with a new system, Fibi). Each department chair identifies an approver or approvers for proposals. It is advantageous to name a designee as either primary or alternate approver to ensure that an approver is available for immediate deadlines. To eliminate delays due to approver unavailability, the Assistant Dean for Research Administration is an alternate approval for all departments other than Biology and Physics and Astronomy (which already have multiple approvers). The approver confirms that all departmental commitments made in the proposal (such as of space and effort) can be met. The central research administration office will not submit proposals without a complete, approved Coeus record.

All proposals should adhere to all sponsor and university policies and requirements unless a waiver has been approved. Waivers of facilities and administrative costs (F&A) and the minimum (1%) effort requirement are requested of the vice dean for natural sciences and research infrastructure through the chair and will be approved as circumstances warrant. Requests for off-campus F&A rates and for cost share (either cash or in-kind) are also requested of the vice dean through the chair.

It may be necessary for investigators to begin their work prior to the official start date of an award, or prior to the university's receipt of fully executed award documents. In these cases, when sponsors allow pre-award spending, a pre-award account may be established so that expenses need not be moved from an institutional account once the award is in place. The chair is responsible for reviewing investigators' requests for pre-award accounts and providing a backup account to cover any expenses incurred in the unlikely event an award is not forthcoming.

As members of the department carry out their work, the chair should remain aware of the financial status of each investigator's portfolio, ensuring they have (or are seeking) sufficient funding. This includes maintaining an awareness of individual faculty members who may need bridge funding because of timing issues with proposal and awards, or are having difficulty securing funding, and intervening as appropriate. The Controller's Office issues monthly reports of deficits on individual sponsored awards; the dean's office will work with the department administrator to ensure that the chair is aware of these deficits and that they are addressed as appropriate.

## Compliance

The chair bears final departmental responsibility for sponsored project-related compliance requirements, including ensuring that investigators adhere to all regulations and policies (sponsor and university) and complete all required training.

## Regulations and Policies

Sponsored project-related university policies with which the chair ensures compliance include:

- Minimum level of effort: The chair should ensure that all proposals request funding for [at least 1% effort for the PI and any senior personnel](#), or secure a waiver of this policy from the executive vice dean.
- High level of effort: The Controller's Office issues periodic reports on individuals devoting a high level of effort to sponsored projects. The chair is responsible for determining that the level of effort is reasonable and all effort is allocable to the funding source to which it is charged. Generally, 100% effort should not be charged to sponsored funds, as this does not allow time for activities such as proposal writing.
- All financial policies: The department administrator will work with investigators, and consult with the Dean's office as necessary, in ensuring that all costs charged to sponsored awards are allowable, allocable, reasonable, and consistent, and that all funds are expended in accordance with university and sponsor policies and procedures. The chair is ultimately responsible for compliance.

## Training

As a condition of receiving external funding, faculty members are required to complete online training [in financial conflict of interest](#), on [effort reporting requirements and procedures](#), and, for research involving human subjects, on [the protection of human research participants](#). The chair has overall responsibility for ensuring compliance with training requirements. The Dean's office and department administrator periodically review lists of faculty members with outstanding training requirements and follow up on them, and will keep the department chair informed and seek intervention as necessary. If this training is not completed prior to proposal submissions, any awards will be held pending completion of training.

Investigators/senior personnel, students and postdoctoral scholars supported by National Science Foundation grants and trainees (student and postdoctoral) supported by National Institutes of Health funding must complete training in the [responsible conduct of research](#). The chair is ultimately responsible for ensuring this training is completed; the department administrator, working with the Dean's office, will monitor and maintain documentation of completion of this training requirement.

## **Audit**

Because of the many regulations, requirements, and constraints around administering sponsored funds, it is vital that proper procedures are followed and records maintained as sponsored projects are carried out. Sponsored accounts are subject to compliance review (financial and non-financial) by the university's outside auditors as part of the university's required Single Audit, by sponsors, and by the Office of Hopkins Internal Audit. Internal audits are intended to uncover instances of non-compliance so that they may be addressed and procedures may be tightened as necessary to prevent future instances of non-compliance. The chair represents the department in both internal and external audit proceedings. Auditors select transactions for sample; the department administrator will ensure that all documentation is supplied to the auditor(s) in a timely fashion and work with the Dean's office to answer questions and provide additional information as requested.

## External Affairs

Successful fundraising results from a partnership between the faculty and the development officer. Each department has a development liaison who serves as a fundraising coach; informs faculty of the best practices in fundraising; and assists with strategy, communication, proposal development, solicitation and stewardship. A current list of department liaisons can be found on the [development office's webpage](#). Additional information about the role of development can be found in the [KSAS Faculty Guide for Philanthropy](#).

The KSAS Office of External Affairs is a multifunctional office that includes development, alumni relations, and communications. The office raises an average of \$40M in philanthropic donations annually from graduate and undergraduate alumni, as well as from parents and friends of the school and philanthropic foundations. Development and alumni relations strengthens and expands relationships with alumni, faculty, staff, and donors; leads fundraising efforts; and strategically supports philanthropic approaches to foundations and corporations.

This philanthropy provides critical resources for faculty, researchers, and students—resources that fund initiatives, both ongoing and new, that ensure future stability for a department.

The KSAS Office of External Affairs also oversees the work of the KSAS Office of Communications and Marketing, which is responsible for the majority of internal and external messaging. This includes oversight of the Krieger School website, social media, *Arts & Sciences Magazine*, the monthly *Arts & Sciences Bulletin* and Arts & Sciences Weekly newsletter, messages from the dean, remarks for leadership, and content creation for multiple mediums.



## Physical Resources and Planning

KSAS Facilities & Planning Management oversees all KSAS allocated space in university-owned and leased facilities, manages space and planning, leads the design and construction of capital projects, and, with the KSAS finance office, prepares the KSAS annual capital budget and long-range capital plans.

### Space Decisions in KSAS

Space decisions are made by the Dean's office in consultation with the chairs, considering the needs and recommendations of each department. Space planning involves the collaboration of three parties:

1. The department, represented by the chair, assisted by the administrator;
2. The dean, assisted by the sr. associate dean of finance and administration and vice deans; and
3. The KSAS director of facilities and planning management.

The KSAS director of facilities and planning management also consults with various JHU internal and external service partners and service providers as needs arise. The director is charged with both helping departments use space efficiently and finding solutions that span departmental space boundaries.

For space allocations spanning multiple departments within KSAS, the Dean's office makes the final decision.

### Space Decisions Process

Chairs should notify the director of facilities and planning management of any requests associated with new hires and/or new programs as soon as they become known by submitting a [KSAS Facilities Request](#), located on the [KASPER Facilities page](#).

The parties described above meet regularly, as part of the budget discussion process, to review the current space situation in each department and to create a plan to accommodate the department's needs. If the department plans to conduct a faculty search(es) or make any new faculty appointments in the upcoming year, the parties should address potential space needs for the appointment as part of this discussion, as such a plan is needed prior to search authorization. No action on a proposed appointment can be taken until this information is available to the KSAS Dean's office.

Budgets for the incoming faculty projects are included in the annual KSAS capital plan that is approved by the KSAS dean's office and JHU University Administration.

### **For more information about departmental space issues**

For Natural Science departments:

Rejji Kuruvilla [rkuruvilla@jhu.edu](mailto:rkuruvilla@jhu.edu)

KSAS Vice Dean for Natural Sciences

For Humanities departments:

Dean Moyar [dmoyar@jhu.edu](mailto:dmoyar@jhu.edu)

KSAS Vice Dean for Humanities

For Social Science departments:

Yingyao Hu [yhu@jhu.edu](mailto:yhu@jhu.edu)

KSAS Vice Dean for Social Sciences

### **For space planning, please contact**

Chris Brown [chris.brown@jhu.edu](mailto:chris.brown@jhu.edu)

KSAS Director of Facilities & Planning Management

## **Requesting Repairs**

Johns Hopkins Facilities and Real Estate (JHFRE) needs to be contacted if something in a facility needs repair or if there are problems with building systems or services. The department administrators or building managers often work closely with the KSAS director of facilities and planning management to identify and solve problems.

For building-related problems needing immediate response, please place a Service Request using this [How To Guide](#), located on the [KASPER Facilities page](#). Only faculty or staff can place routine service requests; students and/or postdoctoral fellows who identify an area of concern should work with an advisor or departmental staff member to have a service request initiated.

## **Emergencies**

Emergencies are any situation that endangers the life or safety of JHU personnel. Personnel who witness an emergency situation should seek shelter in a safe location and call JHU Public Safety at (410) 516-4600.

If the emergency is inside of a JHU building, occupants are advised to evacuate the premises, sheltering at a safe distance away from the building. If the emergency is outside of a JHU building, occupant should seek shelter in a safe location within the building.

The preservation of life is the guiding principle in emergency situations. It is incumbent upon department chairs to reinforce this idea with members of their department.

For notification of building-related emergencies and outages (planned and unplanned), please reference the [KSAS SYMPA Emergency Contact List Sign-Up Instructions](#), located on the [KASPER Facilities page](#).

## Information Technology

**Krieger IT (KIT)** is your gateway to all IT services provided either at the school or institution level. The mission of KIT is to partner with the school's community of scholars and staff to provide and support the technologies that foster the school's mission—discovery through research, scholarship, and education. As excellent research and teaching require excellent technology, it is KIT's job to offer that technology, to work with clients to identify the solutions that help them achieve success.

KIT is organized around a hybrid support model. Technical professionals are placed in the departments for quality, timely response, while guided by the school's IT director and participating in school-wide projects that benefit the larger community. In addition, the director and departmental staff partner with IT@JH, the university's central IT organization, to leverage their enterprise-level services.

### Gateway to Services

The departmental IT professional is the point of contact for all technology services. They can answer questions or find the right group to handle issues. The departmental IT should be consulted on computer purchases, research computing hardware and software, and instructional computing (e.g. Panopto or Zoom questions). The KIT team has more than 30 professionals with the knowledge and experience to get departments what they need. KIT staff can escalate to IT@JH on departments' behalf when necessary for centrally provided services, or connect departments with the Center for Teaching Excellence and Innovation (CTEI) for higher order questions regarding instructional technologies.

Below is a partial list of services and their providers:

### IT@JH services

- Infrastructure
  - wired, wireless, and research networks
    - If wireless coverage is inadequate, the departmental IT support can request a site survey
    - Required cables for wireless access points are installed by outside contractors in collaboration with IT@JH Networking, at department expense
    - Access to the high-speed research network HORNET requires additional switching and cabling, installed by outside contractors in collaboration with IT@JH Networking, at department expense
  - Cybersecurity infrastructure, including network firewalls, intrusion detection, and monitoring
  - VPN
  - Microsoft domain controllers
  - Access to MS Azure and AWS cloud services
  - Enterprise web hosting

- MS O365 Cloud Services—SharePoint/Teams/OneDrive
- myCloud virtual desktop
- Identity management—JHED ID for Single Sign On (SSO) to enterprise application services
- Exchange Online email and calendaring
- Enterprise web services
- Enterprise applications
  - SAP for HR and Finance
  - SIS student information system
  - Canvas learning management system – used to publish course materials online
  - AEFIS assessment management system – used to post course syllabi online
  - OnBase enterprise document management system
- Enterprise software license administration—license fees paid at the division level
  - Microsoft agreement—desktop and server operating systems, O365 productivity applications (Word, Excel, Ppt) and others
  - Qualtrics—all faculty, staff, and students
    - Departments can use this tool for surveys of students, staff, and faculty
  - Research applications, including Matlab and Mathematica
  - Panopto lecture capture
  - Zoom video conferencing

#### **KIT school-wide services**

- School-wide, high availability file server services
- Virtual server infrastructure (with over 100VMs)
- Desktop/laptop backup services
- High-capacity, high-performance shared research storage (per TB charges apply). Includes direct connection to the ARCH HPC computing cluster
- School-wide software licensing/license management
  - Concurrent license management server available for school-wide or departmental software licenses
  - ChemDraw—all faculty, staff, and students
  - IDL and ENVI—concurrent and nodelocked licenses
  - ERDAS Imagine—concurrent licenses

#### **KITCATS (Classroom and A/V Technology Services)**

- Design, installation, and support for A/V technology in Registrar-controlled classrooms
- Consultation for A/V design in departmental rooms. Design consultation is free. Installation is also available at lower rates than outside contractors
- A/V support for departmental events. Hourly rates apply.

#### **Other Technology Support**

- **Center for Teaching Excellence & Innovation (CTEI)** The CTEI is the instructional support group for KSAS and WSE faculty, providing training and resources on teaching. Included in this is support for instructional technologies, such as Canvas and Panopto.

- **University Student Services (USS, formerly Homewood Student Affairs) IT.** operates the Tech Store in Levering Hall, a campus Apple reseller, where students can get walk-in technical support.
- **Advanced Research Computing at Hopkins (ARCH)** ARCH runs the high-performance computing cluster at the Maryland Advanced Research Computing Center (MARCC) at Bayview. KSAS faculty can get computing time on the cluster for computational research.

# **Academic Tasks**

## The Undergraduate Program

The departments play a central role in ensuring a successful undergraduate experience. Although undergraduates do not formally declare a major until the end of their first year, many arrive at Hopkins with a major selected and a career path plotted. Departments are a source of not only coursework, but also serve as something of a physical and social anchor. Students tend to hang out in departmental spaces, participate in activities organized for the major, pursue research projects in the department, and engage faculty advisors for information on educational and career paths. Chairs should be mindful of the varied and ongoing interactions between undergraduates and the department and the opportunity to influence the education and lives of undergraduate students, even from their first semester.

### Duties of the Director of Undergraduate Studies

Each department and program offering an undergraduate major or minor designates a faculty member to serve as the Director of Undergraduate Studies (DUS) who oversees the undergraduate experience in that department. The individual serves as the primary contact on undergraduate matters and exercises special responsibility for engaging his/her faculty colleagues in efforts to ensure the health and quality of the undergraduate program. The DUS provides leadership on such issues as the adequacy of course offerings, requirements for the major, development and assessment of learning goals for the major, the effectiveness of and training for faculty advising, access to research opportunities, and the development of programs that enhance the sense of community among majors and facilitate interaction with departmental faculty. DUSs also attend to such issues as approvals for courses taken elsewhere with the intention to transfer the credits. They frequently represent their department on programs for prospective students and generally support student recruitment efforts. While not directly involved in policy creation, the DUS plays a role in the enforcement of academic policy. Each semester, the vice dean for undergraduate education convenes the directors of undergraduate studies as a group along with administrators responsible for academic advising, academic services, and other academic programs. These occasions facilitate communication about issues related to undergraduate education, provide the opportunity for faculty input, and allow the sharing of program ideas. The directors of undergraduate studies are expected to report to the chairs and to keep them abreast of changes that affect the undergraduate curriculum.

The Director of Undergraduate Studies serves as a departmental liaison to various offices:

- Liaison to Dean's Office: Directors of undergraduate studies meet periodically with the dean of undergraduate education and administrators responsible for academic advising, academic services, and other academic programs to discuss issues related to undergraduate education.
- Liaison to Department: Directors of undergraduate studies work with colleagues to review the requirements for majors and minors in their department and to monitor the undergraduate academic program. They assign students to faculty advisors, and update faculty advisors regarding undergraduate academic policies and registration procedures.

Some departments have an advising coordinator or undergraduate coordinator to assist with these tasks. Directors of undergraduate studies have oversight of undergraduate majors in their program, and work with department staff to update students regarding policies, programs, courses, requirements, and general life in the department. Most communications may be done via email. Department newsletters and postings on the department's website also provide a vehicle for communication with students. The DUS also has the opportunity to develop programs that foster a sense of community among undergraduates and their department. Students particularly appreciate the opportunity for casual interaction with faculty. Film nights, pizza gatherings, and "clubs for majors" have proved effective in some departments. Directors of undergraduate studies are in a good position to lead discussions with colleagues regarding syllabi. While syllabi will be developed by each instructor independently, students appreciate the inclusion of policies regarding attendance, missed exams, electronic submission of assignments, disabilities, and ethics, as well as assignments and their weight toward the course grade, schedule for class meetings, and the course description and readings.

- Liaison to Office of Academic Advising: Directors of undergraduate studies develop a relationship with the professional advisors of the Office of Academic Advising (OAA). One key element of the relationship with OAA is communication regarding the graduation requirements for the major/minor. These requirements are listed in both the electronic degree audit system and in the catalog, which are the official documents of record for academic requirements of majors and minors. Directors of undergraduate studies also work with OAA staff as they coordinate the academic open houses held during Orientation Week before the opening of the fall semester. OAA staff contact directors of undergraduate studies regarding coordination of department presentations to be made for incoming freshmen with a potential interest in the program. The academic open house program has been a simple and effective way of raising the profile of programs. Many first-year students get their first information about the department and offerings at this open house meeting. Finally, the Office of Academic Advising coordinates several student assistance programs and services to which DUSs may wish to refer students. These include PILOT (Peer-Led Team Learning), the Learning Den tutoring program, and the Study Consultant program that assists students with study skills and time management. See offerings at <http://academicsupport.jhu.edu/>.
- Liaison to Office of Admissions: In an effort to recruit the best students to JHU, the staff of the Office of Admissions may encourage interaction between the department and prospective students. The Office of Admissions hosts events during summer, fall, and spring. During the summer open houses and fall open houses, faculty may be asked to participate in different ways. Summer open houses may feature a faculty panel. During the fall open houses, each major hosts a session led by a faculty member. At the session, faculty might conduct a mock class, give a presentation, or just answer questions. The spring open houses host admitted students, who are encouraged to visit departments for either a formal presentation or more casual visit to the department office to get a feel for opportunities in the program. The Director of Undergraduate Studies may also be asked to aid student recruitment efforts by contacting prospective students who have a keen



interest in the discipline.

- Liaison to the Global Education office: Directors of undergraduate studies work with the Global Education Office on the pre-approval of major requirements taken overseas and on finalizing the transfer of credit once a student has received an international transcript. The Director of undergraduate studies plays a crucial role in the continuity of transfer credits earned abroad and applied toward the undergraduate degree. The DUS will develop a close working relationship with the director of global education, who is always available to answer questions concerning approved study abroad programs, international academic systems, and other issues pertaining to overseas education. The primary responsibility of the DUS occurs twice during the study abroad process—pre-approval of major/minor courses prior to student registration for an overseas program, and the finalization of transfer of credit toward major/minor requirements upon student completion of the program. Please refer to the materials in the study abroad section for examples of these forms. The Global Education Office maintains a webpage (<http://studyabroad.jhu.edu>) which provides information on Hopkins-approved programs and eligibility, and where one can apply. A study abroad faculty advisory committee reviews programs and policies pertaining to international education and makes recommendations to KSAS and WSE. Questions can be answered directly by the director of global education (410-516-8400).

The directors of undergraduate studies also perform important functions for student academic life, including:

- Declaration of Major/Second Major and Assigning Faculty Advisor: All undergraduates in the Krieger School of Arts and Sciences are initially classified as “Pre-Majors.” During spring of the freshman year, students meet with their academic advisor to discuss their experiences and to declare their major. The Office of Academic Advising compiles the decisions and enters them into an electronic workflow which is routed to the DUS for advisor assignment. The DUS can then assign faculty advisors to these students via the electronic workflow. Upperclassmen who wish to declare a major (or minor) will start this process via an electronic workflow in SIS. The electronic form is then routed to the department for advisor assignment. The DUS will receive this form via email and is responsible for assigning a faculty advisor to the student via the form. Note: if a faculty advisor is on leave, students should be reassigned to a different advisor on a temporary basis and notified of this change.
- Academic Exceptions in Degree Audit: If a student requests using a “substitution” or unusual course (for example, using a transfer course taken at a different institution) toward a major/minor requirement, the student will need to meet with the DUS to discuss a possible “exception” made to degree audit. The DUS decides if the substitution is appropriate and makes the exception via the major checklist form.
- Transfer Credit Evaluation: Transfer credit is awarded by advisors in the Office of Academic Advising based on a review of course descriptions and syllabi. Students should visit OAA to obtain the necessary form *before* taking a course outside JHU. The DUS or faculty advisor

will be asked to approve courses intended to fulfill a major requirement. Details can be found at <https://advising.jhu.edu/transfer-courses/>.

- **Customized Academic Learning:** Students may approach the DUS or faculty advisor with questions regarding sponsorship of independent study, research, and internship projects. Students who wish to undertake such projects need to complete the electronic form and workflow for independent work located in SIS. Once initiated by the student, the electronic form will be routed to the department for approval. Once approved, the form will go to the registration office where the student will be officially registered for the coursework.
- **Graduation:** The DUS will likely be contacted frequently in May by the OAA liaison as advisors complete final graduation verifications using the degree audit for each major/minor. The DUS will also be contacted by students who wish to complete departmental honors. Since requirements for departmental honors vary widely, each DUS will work with the OAA liaison to answer questions about procedures.
- **Informational Discussions:** The DUS is often the first point of contact for a student who is considering a major or minor. Students may want to meet with a DUS to get advice or information about career options or graduate school. Students can also be referred to resources in such offices as the Life Design Lab and Pre-Professional Programs and Advising.
- **Communication with Students in the Major:** There are many services that may aid communication with majors in the department. Each faculty advisor may simultaneously email all student advisees with the link at the bottom of the “advisee list” screen through SIS. There is also a feature that allows advisors to send the email to members of a selected class (juniors only, for example). Also, the DUS can request spreadsheets and mailing labels through the registrar’s office. These requests should be sent via the form for [datarequests@jhu.edu](mailto:datarequests@jhu.edu). Requests might include Excel spreadsheets with names, class standing, email addresses, majors, second majors, etc.

## Department’s Role in Academic Advising

The mission of academic advising at Johns Hopkins University is to provide quality advising that calls on the expertise of faculty, staff and administration, who work with students to identify and explore the unique curricular, co-curricular and extracurricular opportunities that define the Johns Hopkins University undergraduate experience.

Advisors use evidence-based and pedagogically sound approaches to empower students and support their holistic well-being as they navigate their academic choices, explore meaningful experiential learning opportunities and engage in a richly diverse campus community that cultivates inclusivity and promotes intellectual curiosity.

Through collaborative efforts across the various campuses and schools, advisors work to ensure that all students have the opportunity to define and pursue their personal, academic and

professional goals.

### **Structure of Academic Advising**

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Through collaborative efforts across the various campuses and schools, advisors work to ensure that all students have the opportunity to define and pursue their personal, academic and professional goals.

All students who enter the Krieger School of Arts and Sciences are classified as pre-majors and assigned an academic advisor in the Office of Academic Advising. Starting with the incoming students in fall 2023, all students will meet with their assigned academic advisor each semester until they graduate from the University. Once in their sophomore year, students declare their major and begin to engage with the faculty mentorship model designed by their academic department. Prior to the incoming students in 2023, the model of advising was a split/hybrid model where first-year pre-major students were advised primarily by staff advisors in the office of academic advising and upper class, declared students were advised by faculty advisors in the major department. While the new advising and faculty mentorship model transitions in and the old advising and faculty model transitions out, current sophomores, juniors, and seniors will follow the old model of advising while the incoming first-year students and each class thereafter will follow the new model of advising. It will take three years to transition fully to the new model of advising for all students.

### **Faculty Mentorship**

Until the new model of advising and mentorship is fully implemented, upper class students are required to meet with their faculty advisor at least once per semester, typically for a 30-minute appointment. Students have registration holds placed on their accounts preventing them from registration until they meet with their faculty advisor. The faculty advisor will remove the hold at the conclusion of the meeting. Faculty advisors should consider the following topics for discussion in advising meetings:

- Personal and academic goals
- Post-graduation plans (career, graduate school, etc.)
- Course selection and registration for upcoming semester

- Major requirements and review of degree audit
- Major selection
- How courses relate to each other
- Career options within the field
- Academic support and preparation
- Ways to get involved in the academic department and/or university
- Opportunities for experiential learning activities like study abroad, internships, and/or research

### **Major Requirements and Degree Audit Software**

The registrar's office is in the process of implementing a new degree audit system. In the meantime, upper class students with declared majors as well as faculty advisors can log into SIS to access a pdf of degree audit. The pdf degree audit will show course information that was available in SIS by the date, 7/7/2023. Any course registration or grade information after 7/7/2023 will not show on the pdf audit.

The office of academic advising is currently in the process of creating fillable forms to use for degree tracking purposes until the new degree audit system is in place. Major and Minor Checklist forms will be available via the [Office of Academic Advising Website](#).

### **Junior Clearance Process**

All students in the spring of their junior year must complete junior clearance. The purpose of junior clearance is to ensure that students and faculty members are having conversations about final course requirements, co-curricular experiences, and post-graduation opportunities. In order to ensure that these conversations are happening, the Office of Academic Advising requires that the faculty advisor meet with the student and review progress toward degree completion. More instructions will be sent to faculty advisors during the spring semester.

## **Office of Academic Advising**

Academic advisors located in the KSAS Office of Academic Advising are a great resource for faculty advisors. Academic advisors are trained specifically to know about academic policies and student resources. You can access student advisor information directly in SIS or you can access <https://advising.jhu.edu/> to find contact information.

### **Impact of Academic Advising and Faculty Mentorship**

Students are more likely to persist if they develop a close relationship with at least one faculty or staff member at the institution. Given the advising and mentoring structure at Hopkins, faculty advisors are well positioned to be this one person. Through institutional research, the Office of Academic Advising has learned that students want more face time with their faculty mentors to

discuss a broad range of topics even beyond course selection and registration. Further, the office has learned that satisfaction with mentorship is linked to satisfaction in the major and affinity for the institution as whole. The bottom line is that faculty mentors play an impactful role in the success of the student and the institution.

## **Academic Ethics**

Throughout its history, Johns Hopkins University has enjoyed a distinguished reputation for academic excellence and integrity. Each member of the university bears a personal responsibility to uphold the ethical standards of the institution. The Undergraduate Academic Ethics Board has adopted an [Academic Ethics Policy](#) that outlines the process for responding to infractions in a timely and impartial manner. Faculty and undergraduate students in the Krieger School of Arts and Sciences (KSAS) and the Whiting School of Engineering (WSE) are expected to understand their responsibilities as members of the university academic community and are bound by this policy.

KSAS and WSE students may enroll in courses in one or more other university divisions or schools. KSAS and WSE students are subject to this policy not only when enrolled in KSAS/WSE courses, but also when enrolled in courses in other university divisions or schools. Academic misconduct in the context of those “outside” courses will be subject to and resolved under this policy.

### **Violations of Academic Integrity**

Undergraduate students enrolled in KSAS and WSE assume a duty to conduct themselves in a manner appropriate to the university’s mission as an institution of higher learning. Students are obliged to refrain from acts which they know, or under circumstances have reason to know, violate the academic integrity of the university.

Academic misconduct is prohibited. Academic misconduct is any action or attempted action that may result in creating an unfair academic advantage for oneself or an unfair academic advantage or disadvantage for any other member or members of the academic community. This includes a wide variety of behaviors such as cheating, plagiarism, altering academic documents or transcripts, gaining access to materials before they are meant to be available, and helping another individual to gain an unfair academic advantage. Nonexclusive examples of academic misconduct and detailed procedures for handling suspected violations are listed in the full policy, which can be found at <https://studentaffairs.jhu.edu/policies-guidelines/undergrad-ethics/>.

### **Non-Academic Misconduct**

All issues of non-academic student misconduct are subject to the [University-wide Student Conduct Code](#).

### **Research Misconduct**

Research misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, reviewing, or reporting research. For a complete definition, refer to [The Johns](#)

[Hopkins University Research Integrity Policy](#). The policy applies to all university faculty, staff, trainees, and students engaged in the proposing, performing, reviewing, or reporting of research, regardless of funding source. Allegations of research misconduct regarding a student must be referred to the Research Integrity Officer for assessment under that policy and must also be reported to the relevant vice dean of education or designee.

## **Mental Health Resources for Undergraduates**

Young adults in college must navigate many changes during a critical period in their development. It is not uncommon for students to struggle with academic, social, and financial stress; physical or mental health concerns; adverse experiences; and other challenges to their well-being and academic standing. Early identification and prompt referral of students in distress are crucial.

Student Affairs has developed a [Faculty Resource Guide on Student Distress](#). It is intended to help faculty to understand their role as a partner in students' success, recognize students who may need help, respond supportively and safely, refer students to relevant campus resources, and report as required and seek further guidance as needed.

When a student experiences an event that impacts their living and learning environment, a referral to Student Outreach and Support (SOS) may be appropriate. Case Managers in SOS work to connect undergraduate students to resources on-campus and in the Baltimore community related to mental health and physical health concerns, financial concerns, academic concerns, interpersonal and social concerns, and much more. Faculty can refer a student to SOS through the website, or by raising a "flag" in Starfish; "Behavioral/Mental/Physical Health Concerns". Case Managers follow up with students when a flag is raised and will keep faculty updated as appropriate.

## **Assessment and Accreditation**

Each department and program that offers an undergraduate major is required to develop learning goals for the major and publish them on the department or program website. The departments or programs should routinely review these learning goals, both to ensure their relevance and to ensure that they are measurable. Departments and programs should collect the syllabi for their courses and participate in a program to make these syllabi available to students prior to registration. The AEFIS Syllabus Template pulls some course information from SIS, and instructors are required to include grading policies. Instructors will have the option to add additional details such as office hours, textbooks, and the course schedule.

Assessing student progress toward learning goals is important to determine the effectiveness of instruction and is an essential part of reaccreditation. The university has acquired a license for the AEFIS learning assessment platform. With the eventual implementation of AEFIS and its integration with the learning management system, instructors will be able to design assessments, use them to gauge student performance, and record the data in AEFIS for reaccreditation purposes. The creation of this assessment program is a long-term initiative that will be led by the Dean's office.

## The Graduate Program and Postdoctoral Training

The chair of a department and the director of graduate studies (DGS) are responsible for the success of the graduate programs housed within the department and the academic welfare of the graduate students admitted into those programs. Though the DGS oversees the admissions process for graduate students, the chair is ultimately responsible for the critical decisions that determine the size of each incoming class and the funding allotted to each student. The chair ensures that the resources of the department dedicated to the graduate program and postdoctoral fellows are used fairly, wisely, and to the greatest benefit of all students. The chair advocates to the dean's office on behalf of graduate programs and their students and articulates plans for each program's future. In interdepartmental or interdivisional graduate programs, especially those that are funded by federal agencies, the chair must be involved in management of the programs in collaboration with the appointed director of the program. Funds for graduate programs that flow through a department still fall under the purview of the chairs.

In consultation with the DGS, the chair keeps track of students' progress to degree and helps to resolve problems in individual cases of student progress, advising, and mentoring. In this role, and with the DGS, the chair handles questions of misconduct or grievance and adjudicates cases of probation, leave of absence, or withdrawal. Each year in the budget meeting, the chair will be asked to discuss the funding of all graduate students in the program as well as their status in relation to completion of the degree.

The chair attends to the well-being of graduate students in the program and checks regularly with student representatives to learn of problems to be addressed or improvements to be made. Though some of this exchange may be delegated to the director of graduate studies, the chair should also establish an open line of communication with graduate students; chairs often play a role as local ombuds for graduate students. In addition, the chair is responsible for all the department's formal communication with the graduate students, from the moment of admission to graduation. Student requests for leave of absence, status change, or withdrawal must be approved by the chair; the chair must also approve PhD Graduate Board Exams and final conferral of the degree.

As of Fall 2023, the University is in negotiation for a Collective Bargaining Agreement (CBA) with Teachers and Researchers United-UE, the union representing Hopkins PhD students. Once established, the terms of the CBA will be binding for all PhD programs. The CBA may alter some of the policies and procedures outlined below. During this period of negotiation, the University must be careful about making changes to graduate student requirements, work assignments or funding structures. Please consult with the vice dean of graduate education before implementing any changes to your graduate program. The university plans to give regular updates on the course of negotiations, but any questions may be addressed to the vice dean for graduate education.

## Academic and Student Affairs Services Related to Graduate Students and Postdoctoral Fellows

[The Homewood Graduate and Postdoctoral Affairs website](#) hosts a variety of information and resources for graduate students, postdoctoral fellows, and faculty.

Faculty who want to know where to direct certain concerns about graduate students/postdocs will consult with the department director of graduate studies or department chair. In turn, chairs can rely on the vice dean for graduate education and the assistant dean for graduate and postdoctoral academic and student affairs for assistance navigating difficult situations including:

- Interpretation of academic and university policy
- Questions or issues concerning, graduate credit hours and registration
- Student accounts or student status discrepancies in SIS; issues with the student/ postdoc health plan policy
- Student academic finances
- **Issues with academic performance.** The vice dean's office can help to determine if academic probation is appropriate, provide templates and policy guidance, and discuss reasonable expectations during a probationary period. Do not wait for a crisis-contact the assistant dean for graduate and postdoctoral academic and student affairs early with concerns to talk through options and even alternatives to probation.
- Grievances
- **Potential misconduct.** For any violations of student code of conduct, academic misconduct, or research misconduct, please contact us.
- **Liaison to JHU Office of General Counsel.** For any graduate student/postdoctoral student issues with potential legal considerations.
- **Consultation for any difficult situation** involving a graduate student/postdoctoral student that does not seem to fit into one of our policies or procedures.

For any serious issues that involve a KSAS graduate student or postdoctoral student **after hours**, please know that the assistant dean for graduate and postdoctoral academic and student affairs is on call overnight through the Dean on Call process in Homewood Students Affairs. The assistant dean will liaise with departments as necessary.



## Graduate Recruitment and Diversity Resources

JHU strives to cultivate relationships with outstanding prospective students well in advance of the application process so that they are equally excited about our research opportunities and doctoral programs. The assistant dean for diversity, equity, and inclusion and diversity program manager attend various graduate school fairs throughout the year. Student contact information is sent to the director of graduate studies and the department diversity champion. Similarly, our DEI Office collaborates with other divisions on diversity-related JHU campus visitations (e.g., Annual 2<sup>nd</sup> Look Visit for Accepted Applicants) where they request the participation of KSAS faculty and graduate students.

Faculty outreach to underrepresented minority (URM) students is a powerful yet underutilized method of recruitment. The [Recruitment Tips](#) and [Recruitment Toolkit for Graduate Diversity](#) are resources available to all faculty so that we can ensure that all prospective students feel comfortable and welcome here. The Dean's Office offers the Nathaniel Boggs Fellowship for incoming natural sciences students only, which includes a \$8K supplement for the first three years of graduate study, and the Beverly Wendland Fellowship for Excellence and Diversity in the Natural Sciences is \$12K over two years. Each graduate program will be in charge of identifying candidates for the [Boggs and Wendland Fellowships](#) from among the pool of applicants. The names and other relevant information about the candidates should be forwarded to the KSAS diversity program manager (csmit239@jhu.edu). Programs in the STEM fields can in addition nominate highly qualified applicants from Historically Black Colleges and Universities and Minority -Serving Institutions to the [Vivien Thomas Scholars' Initiative](#) (VTSI) an endowed fellowship program at Johns Hopkins providing full tuition, stipend, benefits, targeted mentoring, and professional development.

Chairs are encouraged to consult with the vice dean for graduate education and director of graduate admissions, as well as the KSAS diversity program manager, to discuss specific efforts to improve the recruitment and retention of a more diverse graduate community.

## Funding for Graduate Student Lines

The number of graduate student lines for each program is determined by the Dean's office in consultation with the chair of the department. The exceptions are programs that are funded by an external agency (e.g. NIH, NSF, DOE); in these cases, the number of graduate students is usually determined by the program officer in charge of making funding decisions. When students are admitted to the program, they are offered funding for a specified number of years (usually five or six). Funding for graduate students in KSAS typically includes tuition, health insurance, and a stipend. Sources for those funds vary considerably from program to program and might include contributions from the Dean's office, external grants, a department's discretionary funds, etc.

In most programs, graduate training includes, in addition to coursework and research, several semesters of teaching assistantship (TA). The established amount of TAing is thus an academic requirement, not a paid service. Having completed the established amount, graduate students may be hired as TAs with approval of the Dean's office. It is important to distinguish when

graduate student teaching is an academic training requirement and when it is only a form of funding.

It is the chair's responsibility, with the help of the department administrator, to oversee and manage the budgeting for all graduate student lines, and to determine what support the department can and should offer to students past their guaranteed years of funding, understanding that this support will in the future fall under the terms of the Collective Bargaining Agreement. The chair advocates for graduate funding in annual budget meetings with the Dean and in cases of special need.

## **Ensuring Effective Mentoring and Advising of PhD Students**

The task of supervising the advising and mentoring relationships of faculty and PhD students falls to the chair of the department, though the director of graduate studies provides assistance. The [JHU Mentorship Commitments of Faculty Advisors and PhD Students](#) document outlines mentoring expectations of faculty advisors and of PhD students. All new faculty and graduate students should be made aware of this document; the department should revisit it regularly. Most notably, PhD advisors have the responsibility to participate in a formal annual meeting with each advisee to discuss academic progress and next steps in the academic program. This annual discussion should be documented and submitted in accordance with program requirements.

Mentoring is a central component of graduate and post-doctoral training, and trainees and faculty at work together to contribute to a positive mentoring relationship and a culture of support university-wide. Each division has unique initiatives and programs in place to support good mentoring, as well as a point person (usually the DGS) within each PhD program or department to whom students can go if they have questions or concerns related to their faculty advisor. Nevertheless, the chair should be aware of any serious concerns and complaints in this area and be involved in any intervention. Additional resources can be found on the [PhD Mentoring Policies and Resources](#) page.

## **Homewood Graduate Board**

The Homewood Graduate Board is responsible for administering and conferring graduate degrees in the Krieger School of Arts and Sciences and the Whiting School of Engineering. For details of the process and policies for awarding doctoral degrees, please consult <https://homewoodgrad.jhu.edu/academics/graduate-board/>.

## **Homewood Graduate Conduct Policies**

The [JHU Student Conduct Code](#) applies to all students, including without limitation graduate student and student groups/organizations, whether recognized by the university or not.

The [KSAS and WSE Graduate Academic Misconduct Policy](#) applies to all graduate students enrolled in full-time, part-time, or non-degree (visiting/special) programs in the Krieger School of Arts and Sciences and the Whiting School of Engineering, including Engineering for Professionals

and KSAS Advanced Academic Programs.

The [Responsible Conduct of Research Policy](#) outlines Johns Hopkins University's obligation to ensure that its advanced degree recipients, faculty, research staff, and all other individuals involved in research have a thorough working knowledge of matters related to responsible research behaviors.

## **Grievance Policies**

The university's [Academic Grievance Policy](#) provides several avenues of redress for students and postdoctoral fellows who believe they have been adversely affected in their professional or educational activities as a result of an arbitrary or capricious act, or failure to act, or a violation of a university, division, school, or center procedure or regulation by their supervisor, department chair, center director, or other administrator or administrative body.

In addition, the Office of Institutional Equity (OIE) leads JHU efforts to foster an environment that is inclusive, respectful, and free from discrimination and harassment. In its role, OIE ensures compliance with affirmative action and equal opportunity laws, investigates discrimination and sexual harassment complaints, and serves as a central resource for those with disabilities or those who require religious accommodations. Statements related to discrimination, harassment, sexual misconduct, and other policies and laws can be found on the [OIE website](#).

The graduate student union (TRU) will have policies in the Collective Bargaining Agreement that govern grievances students have in matters related to their employment.

## **Ombudsperson for Doctoral Students, Postdoctoral Fellows and Programs**

In addition to the services of the vice dean and assistant dean for Graduate Academic and Student Affairs, faculty and graduate students may consult with the university [ombuds for Doctoral Students, Postdoctoral Fellows and Programs](#), a confidential, independent, and impartial third-party for policy information as well as conflict resolution, mediation, communication facilitation and other forms of special assistance.

## **Graduate Student Probation, Funding Withdrawal, and Dismissal Policy**

The [Graduate Student Probation, Funding Withdrawal, and Dismissal Policy](#) addresses consequences of student underperformance, including probation and dismissal. For assistance in the Implementation of these policies, please consult with the vice dean or assistant dean for graduate and postdoctoral academic and student affairs.

## Curricular Planning

In a typical year, departments begin their curricular planning six months prior to each semester. Department chairs work with their directors of undergraduate studies, directors of graduate studies, department administrators, and faculty colleagues to develop a plan that considers course coverage, field coverage, and faculty leaves.

### Curriculum Considerations

- Essential courses for undergraduate program
- Essential courses for graduate program
- Service courses
- General education requirements
- First Year Seminars
- Advanced seminars

### Staffing Considerations

- Balanced load for junior faculty
- Leave policies: anticipated sabbaticals and parental leave

### Curricular Impacts and Other Planning Processes

- Posting of the schedule by the registrar's office
- Academic advising
- Faculty leave
- Assignment of TAs
- Dean's Teaching Fellows

### Course Scheduling Cycles

The Office of the University Registrar coordinates the course scheduling process for the Homewood divisions. The end goal of course scheduling is registration, so deadlines are created to get the schedule posted in SIS in time for students to review and make registration decisions.

Course scheduling occurs in cycles with the following *general* dates in place:

Task	Summer Term	Fall Term	Interession Term	Spring Term
Term Scheduling Begins (CLSS Opens)	Late Oct/Early Nov	Mid Jan	Mid Aug	Early Aug
New Course and Catalogue Changes Due	Early Jan	Early Mar	Early Oct	Early Sept
Term Scheduling Closes (CLSS Closes)	Early Jan	Mid Mar	Early Oct	Mid Sept
Corrected Proofs Due	End of Jan	End of Mar	End Oct	Early Oct
Term Schedule is Published	Mid Feb	Early April	Mid Nov	Mid Oct

Typically, department coordinators/administrators are responsible for course scheduling, but always in consultation with the chairs. Faculty are responsible for supplying coordinators with scheduling information and coordinators are responsible for entering this information into the scheduling software (referred to as CLSS).

The Office of the Registrar tries to accommodate preferences, but they cannot always provide what is requested. Classrooms are especially impacted during peak times. Peak times typically occur from 10 a.m. to 3 p.m. Monday through Thursday. All classes should meet at standard times and departments should abide by the scheduling guidelines—this ensures efficient use of space.

### **Classroom Assignments**

The Office of the University Registrar controls allocation of [General Pool Classroom \(GPC\)](#) space. There are 80 GPCs at the Homewood campus and these rooms range from seminar-style to big lecture halls to active-learning spaces. Classroom capacities are determined by Johns Hopkins Facilities and Real Estate and are in line with building and fire codes.

The Office of the Registrar collects course meeting days/times and preferences, which feed into the room scheduling software. Then, they run an optimizer within the software that places classes in rooms in the most efficient way. When there are too many classes at the same time, a class may not be assigned a classroom in this process. When this occurs, the Office of the Registrar may contact the department to figure out an alternative solution.

### **Faculty Who Need Classroom Accommodations Due to a Disability**

If a faculty member indicates they have a disability that requires a classroom accommodation, please instruct them to complete the Disability Verification Form through the Office of Institutional Equity. The instructor’s physician will have to complete documentation. No documentation should be submitted to the Office of the University Registrar. Instead, the Office of Institutional Equity will provide the Office of the University Registrar with a list of faculty who need accommodations, and the type of accommodation needed. Then, the Office of the Registrar

will assign a room accordingly. This is in line with the process that is followed for students and ensures that faculty with accommodations receive what they need and that the university is in compliance with the ADA.

## Course Scheduling Guidelines

These course scheduling guidelines were devised in recognition that the Office of the Registrar cannot accommodate the increases in demand for classroom space resulting from higher enrollment without more structure. Scheduling structure is necessary to fairly allocate very scarce classroom resources when course offerings are increasing. The guidelines were reviewed and approved by the Joint Administrative Committee on Academic Policy and Procedure (JACAPP), a committee of faculty and administrators charged with implementing academic policy.

### Designated Time Blocks for Morning Classes:

Monday/Wednesday/Friday classes	8 - 8:50
(50 minutes)	9 - 9:50
	10 - 10:50
	11 - 11:50

Tuesday/Thursday classes	9 - 10:15
(75 minutes)	10:30-11:45

**Note:** Courses that have four or five meeting times per week may nest within the Tuesday or Thursday morning time periods; however, they must start at either 9 a.m. or 10:30 a.m. Courses may not overlap time periods. **Example:** A MTWThF course may start at 9 a.m. every day, but if a MTWThF course starts at 10 a.m. or 11 a.m. on MWF mornings, it must start at either 9 a.m. or 10:30 a.m. on TTh mornings.

### Afternoon Classes:

Classes meeting three times per week (example: MWF) for 50 minutes meet as follows:

12 - 12:50  
 1:30 - 2:20  
 3:00 - 3:50  
 4:30 - 5:20

Classes meeting two times per week (example: MW, WF, TTh) for 75 minutes meet as follows:

12 - 1:15  
 1:30 - 2:45  
 3:00 - 4:15  
 4:30 - 5:45

### Courses Meeting One Day per Week:

150 minute, once-per-week seminars may meet any afternoon after 1:30 p.m.

### **Labs:**

Once-per-week laboratories and sections may meet any day either 8 a.m.-9 a.m. or after 1:30 p.m. including the evening hours. Exceptions will be made for large classes with so many labs/sections that they cannot otherwise be accommodated.

### **Distributional Guidelines:**

1. **Graduate courses are exempt from these scheduling guidelines; however, departments are encouraged to conform to the start times listed above.** Conforming to the start times minimizes the likelihood of time conflicts for undergraduate students and teaching assistants. Furthermore, to the extent that they don't conform to the guidelines set out for undergraduate courses, room scheduling can become impossible. **Undergraduate courses** scheduled in department-controlled space must conform to these guidelines.
2. Departments may schedule up to **60%** of all undergraduate **and graduate** courses **during "prime time" blocks from 10 a.m. to 2:30 p.m.** The remaining **40%** or more should be spread throughout "non-prime" time blocks. Graduate courses scheduled in department-controlled space are exempt from the 60% prime time calculation.
3. Time blocks must be used as designated. This ensures optimal utilization of general pool classroom space and minimizes time conflicts for students. **Example:** MWF classes must be scheduled 8 a.m.–8:50 a.m. or 9 a.m.–9:50 a.m., etc. MWF classes must not be scheduled 8:30 a.m.–9:20 a.m. or 10:15 a.m.–11:05 a.m., etc.
4. Graduate courses taught during the day **in general pool classrooms** must conform to the start times listed above in order to optimize classroom utilization efficiencies and minimize time conflicts.
5. **If a course has two lectures per week and additional sections on a third day, the course should follow the MWF time pattern.** *Note:* No more than 10 sections associated with the lecture may be scheduled at the same hour. Rationale: Courses with two lectures and one section follow the MWF pattern to maximize student choices for classes offered. Example: The student enrolled in "Course A" MWF at 10 a.m. now has an open choice for a TTh class in the morning. If "Course B" is MWTh, the student may not be able to choose a TTh class because of a time conflict and may not be able to find an offering to fill the empty Friday time slot either.
6. Courses that meet **after 6 p.m.** are exempt from the guidelines because classroom space is adequate to meet demand in the evenings.
7. Large courses that are cooperatively scheduled in consultation with the Academic Advising offices are excluded from the 60% prime time distributional guideline. **Examples:** Biology, Economics, and Calculus.

## Scheduling Protocols

- a) Once the course offerings are viewable on the web, additional offerings requiring **general pool classroom space** can be added to **prime time** only on a space-available basis. Every effort will be made to locate space and add the courses; however, the registrar may not succeed given the scarcity of resources.
- b) Room assignments will be completed no later than two weeks prior to the start of the semester.
- c) The Registrar's Office will run a prime time report to identify the percentage of each department's courses that are scheduled in prime time. If more than 60% of a department's courses are scheduled in prime time, the report will be sent to the department chair. Classroom assignments will be delayed until the department chair determines which courses should be scheduled up to a maximum of 60% in prime time.
- d) The Registrar's Office recommends that departments use the 9 a.m. and 10 a.m. start times for **upper level** undergraduate courses because more classrooms are available early in the morning, especially at 9 a.m., and lower level undergraduate courses may conflict with large introductory classes.
- e) It is recognized that there may be academic and pedagogical reasons for scheduling courses outside the provisions of the guidelines. Requests for exceptions will be evaluated by the vice dean for undergraduate education.
- f) Courses with enrollments of four students or fewer are not assigned general pool classroom space until all other courses with higher enrollments have been assigned space.
- g) Every effort will be made to assign classrooms appropriate to course enrollments and instructional needs and, if possible, to give preference to each department to use classrooms in close proximity to their departmental facilities.
- h) Compliance with ADA regulations may require room assignments to change as accommodation needs are identified.
- i) Because the demand for general pool classroom space for course offerings exceeds the supply of general pool space, the registrar will consult with departments on occasion to use spaces that the department manages.



## Summer Programs

Summer programs play an increasingly important role, both as a source of revenue and as an extension of the semester that allows students to complete course work required of their major or of pre-professional schools. Summer programs are organized by an office dedicated to that end, which is overseen by the associate dean for graduate and professional programs. Chairs need to be aware of the following:

1. There are two summer sessions in the months of June and July and many courses run during the summer.
2. Summer courses are open not only to Hopkins undergrads. Students from other colleges and universities and in some cases even from high schools can enroll in these courses.
3. Tenured/Tenure Track and Teaching/Research faculty can teach in summer school. Pay is determined by a schedule in the KSAS Dean's office. Summer courses are an especially important opportunity for TRT faculty to earn summer salary.
4. Courses originate with the departments; therefore, departments retain full control over the courses (content, instructor, etc.).
5. The chair must approve the arrangements for all summer courses. This usually happens in December, in time for the courses to be marketed in advance.
6. A percent of the revenue from summer courses is returned directly to departments.

# Sheridan Libraries & University Museums

## Overview

The Sheridan Libraries & University Museums supports the work of faculty, students, and staff at the Carey Business School, Krieger School of Arts and Sciences, School of Education, Whiting School of Engineering, and university administration. Its mission is to inspire and advance research, teaching, and lifelong intellectual growth by providing the distinctive collections, information and educational services, training, and facilities they need, when, where, and in the form they prefer.

The Milton S. Eisenhower Library and the attached Brody Learning Commons are the physical heart of the Sheridan Libraries and the Homewood campus. The Sheridan Libraries also include the Hutzler Reading Room in Gilman Hall, two rare book libraries: the John Work Garrett Library, located in Evergreen Museum & Library, and the George Peabody Library, located on the Peabody Conservatory campus, and the Sheridan DC Library opening Fall 2023 at the Bloomberg Center in Washington, D.C.

The JHU Museums encompass two historic house museums along Baltimore's historic Charles Street corridor: Homewood Museum and Evergreen Museum & Library. They interpret distinct historical eras and represent differing aesthetic styles but share origins as residences for prominent Maryland families. Taken together, the museums tell a story about the development of Baltimore and America between the years 1800 and 1950. They play a vital role in enhancing the academic curriculum by offering courses through the Program in Museums & Society and student internships. More detailed information on the museums may be found here: <https://museums.jhu.edu>.

## Services

The Sheridan Libraries offer a wide range of services and programming to support research and teaching. The ones described below are core services; for additional information, including upcoming events and exhibitions, please visit: <https://library.jhu.edu>.

## Academic Liaisons

Academic Liaison librarians support faculty and students through all phases of the research life cycle and serve as an easy point of first contact for faculty. Each department has an assigned liaison librarian, and they are available to:

- Meet with faculty and graduate students to discuss course support, including designing assignments to build students' research skills and experiences;
- Collaborate with faculty to design and conduct active learning sessions in library learning spaces;

- Provide one-on-one consultations for student papers, projects, and thesis and dissertation work;
- Discuss information needs and purchase collections related to faculty research;
- Develop course-based research guides;
- Provide general research support for faculty and students;
- Refer to other departments as needed.

A list of current liaisons with their subject areas is available here: <https://www.library.jhu.edu/library-departments/academic-liaison/>. Liaisons are happy to meet with new faculty to introduce them to the services.

## **Data Services**

The expert staff in Data Services support success in research and teaching by helping members of the JHU community find, use, visualize, manage, and share data effectively. Data Services offers consultation and training on a variety of topics, including: finding secondary data; GIS and mapping; computational research and coding; data visualization; research workflows and documentation; data sharing; and open science. Data Services also manages the Johns Hopkins Research Data Repository (<https://archive.data.jhu.edu>), an open access repository for Hopkins researchers to share their research data.

On A-level of Eisenhower Library, Data Services offers several spaces that provide access to tools and technology for working with data: the Data Services Computer Lab; the Visualization Studio; and the Restricted Data Room.

Please visit the Data Services website (<https://dataservices.library.jhu.edu>) to learn more, or email [dataservices@jhu.edu](mailto:dataservices@jhu.edu).

## **Course-Integrated Instruction**

Librarians, curators, and data and GIS specialists collaborate with instructors to design in-class research learning opportunities that are tailored to specific course learning outcomes. They can help integrate materials from library, archives, and museum collections into the learning experience. The instruction can range from an introduction to research methods and demonstrations of specific sources, to in-depth discussion of strategies for identifying and critically assessing primary and secondary sources to create new knowledge. Topics can also include working with data and related tools to support course outcomes, such as learning an aspect of a GIS application.

## Eisenhower Express

Library staff will retrieve and deliver material owned by the Sheridan Libraries for faculty, senior staff, graduate students, and students with disabilities on the Homewood campus.

Book delivery: Books may be requested via Catalyst (<https://catalyst.library.jhu.edu/>), the JH Libraries' online search engine. Indicate "JHU Homewood Office" as the pick-up location for books owned by any Hopkins library. Books are delivered to departmental mailboxes.

Digital Document Delivery: Request articles or book excerpts through the request form (<https://ill.library.jhu.edu/mse1>). Express will scan up to 60 pages of an article, book chapter, or portion of the book in accordance with fair use and will deliver electronically. Only eligible for books that are found at Eisenhower Library and the Libraries Service Center.

For more information, email [express@jhu.edu](mailto:express@jhu.edu).

## Interlibrary Loan/Borrow Direct

If the libraries don't own it, you can still get it, either through Interlibrary Loan (<https://ill.library.jhu.edu/mse1>) or Borrow Direct. Borrow Direct includes books and AV materials from libraries in the "Ivy Plus" network, which includes Brown, Columbia, Cornell, Dartmouth, Duke, Harvard, JHU, MIT, Princeton, Stanford, University of Chicago, UPenn, and Yale. Expect delivery in three to five business days.

To access Borrow Direct, see the FAQ: <https://ask.library.jhu.edu/faq/44698>.

## Reserves

Reserve Services at the Sheridan Libraries support electronic and physical reserves for courses. All services are initiated upon request from course faculty. To request support for reserves, faculty, teaching assistants, instructional designers, and academic department staff are encouraged to send syllabi or reading lists to [reserves@jhu.edu](mailto:reserves@jhu.edu). For more information, visit: <https://www.library.jhu.edu/library-services/course-readings/>

## Special Collections

Special Collections (<https://www.library.jhu.edu/library-departments/special-collections/>) houses an incredible collection of rare books and historic documents, as well as materials pertaining to the history of Johns Hopkins University. The main Special Collections Reading Room is located on M-level of the Brody Learning Commons; the libraries also offer limited researcher services at the George Peabody Library the John Work Garrett Library and the Virginia Fox Stern Center for the Study of the Book in the Renaissance, located at Evergreen Museum & Library.

Library curators welcome the opportunity to integrate rare books and manuscripts into your teaching. Holdings cover the historical aspects of most disciplines, and curators are open to engaging with your class in a variety of ways: a class visit giving an overview of the collections, a more in-depth instructional session, or other creative interactions that can be planned together. Exposing students to rare materials offers them a tangible experience of history in the classroom setting and adds exciting depth to almost any course. Students are welcome to make use of the materials for individual research, and in most cases, staff can also make arrangements to support course-related research assignments.

The Winston Tabb Special Collections Research Center (<https://tabbcenter.library.jhu.edu/>) advances original research, student engagement, and public humanities scholarship by connecting faculty, students, staff, and the larger Baltimore community with special collections materials. The Center offers exhibitions, lectures, courses taught through the Program in Museums & Society, undergraduate research fellowships, and hands-on outreach events, including the annual Edible Book Festival and vintage game nights.

All instruction using the libraries' collections is held in teaching spaces at the Brody Learning Commons, the Garrett Library, or the George Peabody Library. Special Collections staff will provide support for instruction, including room reservations and the retrieval of requested materials. For more information, please e-mail [specialcollections@lists.jhu.edu](mailto:specialcollections@lists.jhu.edu).

## Teaching Resources

The Center for Teaching Excellent and Innovation is the instructional innovation and support team for Homewood faculty. The team includes instructional designers, educational technologists, and educational research professionals. Faculty can consult CTEI staff on pedagogical and educational technology, attend CTEI workshops, reserve teaching technology, and request support on educational research or program evaluation of grant-funded projects. Learn about CTEI resources and services at <https://ctei.jhu.edu/> or X (formerly Twitter) @JHU\_CTEI. While CTEI staff primarily work directly with faculty, the CTEI staff work with department chairs in the following ways. Please contact the CTEI director, Mike Reese ([mreese@jhu.edu](mailto:mreese@jhu.edu)), to explore possible partnerships.

- Department training on teaching best practices and educational technologies, sometimes in response to faculty concerns like academic integrity
- Invited presentations to summarize CTEI services at weekly department meetings or retreats
- Assistance with and collaboration on education-related grant proposals (e.g., NSF Early Career grants, NIH T-32, Mellon Foundation grants)
- Training to prepare faculty for accreditation requirements
- Department-specific teaching assistant training
- Information on instructional innovation grants that CTEI offers to help departments redesign/develop new courses or programs
- Assistance with educational research or program assessment.

Some departments reference the Johns Hopkins Teaching Academy (<https://ctei.jhu.edu/teaching-academy>) when recruiting prospective graduate students. The Teaching Academy, managed by the CTEI, is a professional development program for graduate students and post-doctoral fellows to help them prepare for their future teaching responsibilities at Johns Hopkins or as faculty elsewhere. The program includes numerous workshops and a certificate of completion program. Departments report that competitive candidates are interested in programs that provided excellent research and teaching professional development programs. Departments and faculty can also reference the Teaching Academy when submitting graduate traineeship grant proposals (e.g., NIH T-32, NSF NRT, NIH IRACDA). Contact Mike Reese ([mreese@jhu.edu](mailto:mreese@jhu.edu)) for more information.