

## PART II: FACULTY HANDBOOK

### I. FACULTY EXPECTATIONS: INTRODUCTION AND ETHICS

#### a. AAUP Statements Regarding Faculty Rights and Responsibilities

By unanimous vote, faculty at Hobart and William Smith Colleges voted to accept as guidelines for professional conduct AAUP statements regarding faculty rights and responsibilities as set forth below: [REVISED April 2010]

#### 1] 1940 AAUP Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to ensure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

Tenure is a means to certain ends; specifically: (1) freedom of teaching and research and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

#### **Academic Freedom**

1. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

2. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

3. College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

(*AAUP Policy Documents and Reports*, 10<sup>th</sup> edition, Baltimore: Johns Hopkins University Press, 2006, p. 3-4.)

## 2] AAUP Statement on Professional Ethics

### Introduction

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The *Statement on Professional Ethics* that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The AAUP supports such local action and stands ready, through the general secretary and the Committee on Professional Ethics, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 *Statement of Principles on Academic Freedom and Tenure* [and Hobart and William Smith Colleges procedures for *Termination of the Faculty* as set forth in the HWS Faculty Bylaws. (Article 1, section g)]

### The Statement

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence.

They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty

responsibilities for the governance of their institution.

4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

(*AAUP Policy Documents and Reports*, 10<sup>th</sup> edition, Baltimore: Johns Hopkins University Press, 2006, p. 171-172.)

**b. Conflict of Interest Policy**

Trustees, officers and all employees of the Colleges should conduct the affairs of the Colleges consistent with the goal of promoting the best interests of the institution. It is therefore expected that all such individuals will conduct any business related to the Colleges with candor and integrity. Any such individual may have a conflict of interest when he or she or any of his or her family or associates knowingly: (1) has an existing or potential financial or other material interest which might impair the individual's independence and objectivity in the discharge of his or her responsibilities to the Colleges, or (2) may receive any financial or other material benefits from knowledge or information confidential to the Colleges.

The family of an individual includes his or her spouse, domestic partner, parents, grandparents, siblings, children, grandchildren, and any other blood relative if that relative resides in the same household. An associate of an individual includes any person, trust, organization, or enterprise of which the individual or any member of his or her family: (1) is a director, officer, employee, member, partner, or trustee, or (2) has a significant financial or other interest which enables him or her to exercise control or significantly influence policy.

Any individual who has a conflict of interest in any matter concerning the Colleges shall disclose such conflict to the appropriate person at the earliest practicable time and shall not act or vote in any decision-making capacity regarding such matter. Disclosure shall be appropriate when made by faculty to the Provost and Dean of Faculty, by Staff and Administration to their respective Senior Staff members, by Senior Staff members, including the Provost and Dean of Faculty, the Vice President for Finance, the Dean of Hobart College, the Dean of William Smith College, the Vice President for Institutional Advancement, the Vice President for Enrollment and Dean of Admissions, the Director of Human Resources, the Director of Communications, and the Chaplain to the President and by the President and by individual Trustees to the Board of Trustees. Employees may not solicit or accept gifts, gratuities, favors or anything of monetary value from current or potential vendors, contractors or their agents, local businesses or others with whom there is a potential or ongoing business or professional relationship. Employees may accept ordinary business courtesies, such as payment for a modest meal or event or gifts which are promotional items without significant value and are distributed routinely. Not adhering to this policy is considered a serious matter and may result in disciplinary action, up to and including the termination of employment.

Employees are expected to comply with the FINANCIAL AID CODE OF CONDUCT. A copy can be found at: [http://www.hws.edu/admissions/finedu\\_aid\\_conduct.aspx](http://www.hws.edu/admissions/finedu_aid_conduct.aspx)

c. **Faculty Statement on Anonymous Communications**

On February 13, 1995, the Faculty adopted the following resolution for inclusion in this Handbook:

Recent instances have brought to the faculty's attention the dangers involved in the circulation of anonymous letters evidently written by faculty members. The motives for sending such communications can vary from the trivial to the malicious. The faculty herewith repudiates and disavows the sending of anonymous ad hominem letters to the faculty as a whole or to individual members thereof. It considers that such communications carry with them the inherent risk of harmful and gratuitous insult to individual faculty members and therefore to the faculty as a whole. Such risk far outweighs any possibly valid purpose - political or recreational - that might conceivably be served by preservation of authorial anonymity.

## II. FACULTY OBLIGATIONS, APPOINTMENTS, SALARIES, AND LEAVES

### 1. OBLIGATIONS

a. **Individual and Institutional Obligations**

Sabbatical leaves, junior leaves, and leaves of absence without pay are granted on the expectation that the professor will return to full-time teaching at the end of the leave. It is presumed, generally, that the professor will teach for at least one academic year following a leave. In the event that the faculty member does not return, then the faculty member shall be obligated to return to the Colleges the salary and contributions by the Colleges to his or her insurance and retirement received during the leave.

The following is quoted from "Statement of Principles on Leaves of Absence," *AAUP Policy Documents and Reports*, 10<sup>th</sup> edition, p. 255.

Faculty members have an obligation to return for further service following leave of absence when the circumstances of granting the leave indicate that this is the equitable action, as is often the case when leave with pay is granted. A faculty member should, of course, honor an agreement to return to his institution, unless other arrangements are mutually agreed upon. The precise semester of the leave of absence should be in writing and should be given to the faculty member prior to the commencement of the leave.

Even when there is no obligation to return, the faculty member who resigns while on leave should give notice according to accepted standards. Moreover, a college or university should not knowingly invite a person to join its staff at a time when the individual cannot properly accept the invitation. In most instances, an institution which invites a faculty member to accept a new appointment while on leave should feel obliged to pay at least a portion of the cost of the leave.

b. **Whereabouts of Faculty**

For the convenience both of the faculty member and the Colleges, it is expected that faculty members will inform the Department/Program Chair and the Provost's Office about extended absences and changes of address and telephone numbers.

c. **Commencement and Convocation**

Attendance at Commencement, Convocation, and other academic processions is strongly encouraged. The Registrar marshals the faculty at Commencement and Convocation and any member who must be absent should inform the Registrar's Office. The Registrar will order academic regalia, if needed, for those who will attend. Position in the procession is determined by rank and seniority.

**d. Office Services Policy**

- 1) Offices are provided for activities connected with a faculty member's position at the Colleges. This includes work with professional organizations and educational associations. It is inappropriate to use Colleges offices for any commercial activity or personal business. A faculty member may not allow any outside organization or individual to use a Colleges office. It is customary practice at the Colleges for a faculty member on sabbatical or other leave to work with the Department/Program Chair to make arrangements for his or her assigned office during the course of the leave so that any full-time replacement or adjunct will receive adequate office space. In cases where the Department/Program Chair cannot identify appropriate office space, the Provost and Dean of Faculty will be consulted.
- 2) Phones The same restrictions apply as described for office use. The Colleges' phones are restricted to Colleges related or professional use. No personal business should be conducted by Colleges phone except for the occasional local call that must be made during the day. Colleges' phones may not be made available to outside organizations. (Note that the Colleges pay a basic line charge and a time-in-use charge for all outside calls made. Thus any use of these lines involves an expense to the Colleges.)
- 3) Services The Colleges' copy and printing services and secretarial services are not available to outside organizations even when the organization is non-profit and/or educational in nature. Faculty members who have editorial or administrative duties in connection with scholarly publications and/or educational organizations may use these services to a limited extent. The level of services provided should not interfere with the normal operation of the offices involved, and this work cannot take priority over normal College business.
- 4) Public Space The Colleges have traditionally made meeting rooms available to non-profit community groups on a time available basis. When a special cost is involved in preparation of the space, supervision of the event, or clean up afterwards, the cost must be met by the outside organization. Rooms are reserved through the Registrar's Office during the academic year, and through the Conferences and Events Office during the summer.

**2. APPOINTMENTS: FACULTY POSITION CATEGORIES**

"Tenure-track" lines are those within which faculty may acquire continuous (tenured) appointment. Such ongoing positions, whether or not faculty may be tenured within them, are those which by reason of history or stated college policy have firm expectations of continued existence and firm departmental or programmatic affiliations. The Colleges will reexamine their commitment to each with a frequency which is indicated in the following individual descriptions. Faculty may be appointed on a regular basis part-time. However, there are not part-time tenure-track lines.

**a. Tenure-Track Positions**

Tenure-track positions are ongoing positions which present no known obstacle to the tenuring of the occupant; i.e., the performance of the faculty member would be the only consideration in his or her tenure review. Such a position is reviewed on the occasion of the resignation, retirement, or death of that faculty member, or when the trustees, in consultation with the appropriate faculty bodies, declare financial exigency, as described by the AAUP (10<sup>th</sup> edition, p. 24-25. Such lines may be occupied only by members of the faculty teaching full-time (five courses) on a regular

basis.

**b. Visiting Temporary Positions (Non-tenure Track)**

In addition to faculty hired into the positions described above, the Colleges employ individuals who temporarily replace or supplement faculty in such formally recognized positions. These individuals may be employed full-time or less, on contracts from one semester to two years. Except where noted, the rights and benefits these individuals enjoy are as described for faculty generally. Faculty hired in full-time, non-tenure track positions will normally teach five courses.

**3. SALARIES**

**a. The Step System**

The Colleges' faculty salary scale defines all steps relative to the base salary of Assistant Professor, Step 1. Progression through the ranks at one step per year is the norm and allows for timely promotion. All members of the faculty know exactly where they are on the scale and why they are in that particular step. In most cases this will be the step corresponding to years in rank, but for some faculty step position will not equal years in rank because of previous experience, market conditions, or merit judgments. Thus the rationale for any faculty member's salary step should clearly assign any departure from the norm to one or several of these factors.

Instructors' salaries are set at 87% of Assistant Professor, Step 1 (base). Step increases conclude for Instructors at Step 3, for Assistant Professors at Step 12, and for Associate and Full Professors at Step 26 in each rank. Anyone wishing to advance beyond the cap for the Instructor, Assistant Professor, and Associate Professor ranks would do so through promotion to the next rank. The details of normal progress and common deviations from the norm are set out below.

Normal Progress Within Rank

1) Instructor

Steps in the rank of Instructor are defined as follows: Step 1 = 87% of Assistant Professor, Step 1 (base), Step 2 = 88% of Assistant Professor, Step 1 (base), and Step 3 = 89% of Assistant Professor, Step 1 (base). Normal progress is defined as one step a year, to the limit of Step 3.

Faculty who spend one or two years as Instructor ordinarily move to Assistant Professor 1 or 2 when promoted. This represents a lag of one step. Faculty who spend three or four years as Instructor ordinarily move to Assistant Professor, step 2 or 3, when promoted. This represents a lag of two steps.

2) Assistant Professor

Assistant Professors move through rank at one step a year, Steps 2-12 being 2% above the previous step, normally reaching Step 6 in the year of Review II. Promotion to Associate, Step 1, then ordinarily accompanies a positive tenure decision. (Any promotion of an Assistant Professor in a step below Step 6 is also promoted to Associate, Step 1.) Promotion from Assistant to Associate Professor normally provides a 4% increase in the year following the promotion review.

3) Associate Professor

Associate Professors move through rank at one step a year, normally reaching step 6 in the year of Review III. Steps 2-9 are 2% above the previous step; Steps 10 through 19 are each 1% above the previous step; and Steps 20-26 are each .5% above the previous step.

Promotion from Associate to Full Professor normally provides a 4% increase in the year following the promotion review for Associates in Steps 6-9.

Associate Professors at Step 10 or higher move to a Full Professor step that provides an increase as close to 4% as possible without dropping significantly below the standard 4% promotion increase. (Actual promotion increases for Associates at these steps range between 3.9% and 5.5% depending upon the Associate's step just prior to promotion.) Thus, Associates at Steps 10-11 are promoted to Full Professor, Step 5; Associates, Steps 12-13 are promoted to Full, Step 6; Associates, Steps 14-15 are promoted to Full, Step 7; Associates, Steps 16-17 are promoted to Step 8; Associates, Steps 18-19 are promoted to Full, Step 9; Associates, Steps 20-23 are promoted to Full, Step 10; and Associates, Steps 24-26 are promoted to Full, Step 11.

4) Full Professor

Normal progress is one step per year in the rank of Full Professor, with each step representing a 2% increase up to a universal cap at Step 26.

5) Visiting Temporary Positions (Non-tenure Track)

Newly appointed faculty in temporary part-time appointment will be paid according to the scale in effect at the time, as determined by the Provost and Dean of Faculty, with the actual salary offered reflecting degree status (whether or not the candidate holds the terminal degree in his or her field) and prior instructional experience.

Individuals teaching four or more courses will be compensated at a proration of the step appropriate to their degree status and experience, and will be considered benefits-eligible.

**b. Special Situations: Prior Experience, Market, and Merit**

All special situations outlined below must be approved by the Provost and Dean of Faculty.

1) Appointment with Prior Teaching Experience

When a faculty member with previous full-time teaching experience joins the faculty, the first-year salary step may not correspond exactly to either the actual number of previous full-time years teaching or the number of prior years in probationary status recognized upon appointment. Generally, however, the salary step will be within two of the years of full-time teaching or equivalent professional experience beyond receipt of the doctorate or other appropriate terminal degree.

2) Market Steps

Faculty hired at steps above Assistant Professor, step 1, because of market conditions in their area (as distinct from cases involving previous experience) may continue to advance one step per year until Review II. If more than two market steps are involved, the faculty member may request consideration for early promotion to Associate Professor when in Assistant, step 6, 7, or 8, moving to Associate, step 1, 2, or 3, if tenure and promotion are granted.

3) Merit Steps

A merit step is given as a permanent acceleration in step progress. The faculty member receiving a merit step will, under normal conditions, accrue the additional salary resulting from the step advancement on a permanent basis, until reaching the universal cap for that rank.

#### 4. **FACULTY LEAVE POLICIES: SABBATICAL, UNTENURED LEAVES AND LEAVES OF ABSENCE**

Departments are expected to schedule leaves to disrupt as little as possible department and program curricula. The granting of any leave, including sabbatical leaves, untenured leaves, and leaves of absence without pay, is authorized by the Board of Trustees upon the recommendation of the President, and is granted to further the professional growth and effectiveness of a faculty member and thus to increase the value of his or her subsequent service to the Colleges. In general, faculty are expected to teach in the service of the Colleges at least five of every seven years of appointment. Time in service to the Colleges includes semesters teaching in the Colleges' off-campus programs.

##### a. **Sabbatical Leaves**

Full-time faculty in tenured or tenurable positions only at the rank of Assistant Professor and above who hold the Ph.D. or other appropriate terminal degree are eligible for sabbatical leaves as follows:

- (1) For every 7.5 course equivalents taught as part of a normal teaching load of 5 courses per year, a faculty member accrues one course equivalent of sabbatical leave at full pay. These may be “expended” as either mini-sabbaticals (15 courses taught earns 2 courses sabbatical release) or full sabbaticals (30 courses taught earns 4 courses of sabbatical release at 80% pay, or 37.5 courses taught for a full 5 course sabbatical at 100% pay). While time on leave of absence is not normally counted in determining eligibility for sabbatical leave, exceptions can be authorized by the President. Course reductions granted for committee, chair, and special administrative service count as regular courses towards sabbatic accrual.
- (2) Faculty who are eligible for a full sabbatical may choose to schedule the semesters in which they are on sabbatical in various ways. They may take a full academic year (5 courses) off at 80% pay. They may choose to teach one course in their sabbatical year and receive 100% pay. They may also choose to schedule their sabbatical as a combination of two-course semesters off at full pay. Or, they may choose to use additional eligibility from additional semesters teaching, or support from research grants or fellowships to augment their sabbatical time. The following examples illustrate these several strategies:

**Example 1:** Professor H is eligible for a full sabbatical in Year B. Professor H does not teach at all and receives 80% pay.

**Example 2:** Professor W is eligible for a full sabbatical in Year B. Professor W teaches one course in the fall semester and no courses in the spring, and receives 100% pay for the academic year.

**Example 3:** Professor S is eligible for a full sabbatical in Year B. Professor S chooses to take that sabbatical as a combination of 2 two-course semesters at full pay; and deliberates amongst the following choices: (a) teaching three courses in the Fall of Year B, taking the Spring of Year B and Fall of Year C off, and teaching 3 courses in the Spring of Year C; or (b) rearranging the semesters such that in Year B Professor S takes off 2 two-course semesters and in Year C teaches the three course semester from Year B and the three-course semester from Year C; and (c) organizing the sabbatical as any combination of two mini-sabbaticals.



Each of these examples has implications for the institution and one's departments and interdisciplinary programs. Thus, departments and individuals must plan sabbaticals well in advance. For this reason, all sabbatical requests must be accompanied by a two-year sabbatical plan for your department or program.

Half-time faculty in ongoing positions who have taught 7.5 courses in consecutive years are eligible for a one course sabbatical leave.

Accumulating more than five courses of sabbatical leave is not normally permitted unless special circumstances approved by the Provost and Dean of Faculty warrant such an accumulation. After accruing five courses of sabbatical leave time, only one additional year of full-time teaching can be counted toward sabbatical accrual. Any further courses taught beyond that point will not be counted toward sabbatical accrual without the Provost and Dean of Faculty's approval until at least one course of sabbatical leave time has been used by the faculty member. Special circumstances might include deferral of leave for institutional or departmental reasons. [REVISED Oct 2009]

Faculty members are not normally eligible for full sabbatical or semi-sabbatical leave in their last year before retirement. However, individual exceptions may be made on the recommendation of the President.

A request for sabbatical leave must be submitted in writing to the Provost and Dean of Faculty, with prior approval of the department or program chair. This letter must be accompanied by a letter from the appropriate chair acknowledging the request and describing the department's replacement plans. The request should include a statement of the faculty member's plans, in conformity with the purpose of sabbatical leave as set forth above. The request should be made by mid-October in the academic year preceding the leave. If possible, the department concerned should rearrange course offerings to eliminate the need for a replacement. On return from sabbatical leave, a faculty member will submit to the President and Provost and Dean of Faculty, within 60 days, a short written report of his or her activities and accomplishments while on leave.

A sabbatical leave provides faculty with time to undertake new projects, pursue new avenues of research, develop new pedagogies, etc. Normally, teaching courses at another institution may be contrary to this policy; therefore, a faculty member on sabbatical leave must consult with the Provost before accepting a teaching appointment while on leave.

#### **b. Untenured Leaves**

Untenured faculty in tenure-track positions are eligible for a research leave of two courses at full pay normally in their fourth year of appointment, contingent upon completion of the Ph.D. or other appropriate terminal degree and a successful Review I. Availability of untenured leaves for faculty hired with prior credit for teaching at another institution must be negotiated with the Provost and Dean of Faculty.

The intent of the untenured leave program is to provide untenured faculty the opportunity to pursue a scholarly research or writing project prior to review for tenure. Departments are expected to plan for them, and generally to operate without replacement for the one semester that the faculty member is absent.

A letter of intent from interested faculty must be sent to the Provost and Dean of Faculty in mid-October prior to the academic year during which the leave will occur. This letter must be accompanied by a letter from the appropriate department chair acknowledging the request and describing the department's plans for meeting its curricular obligations. A brief description of the faculty member's proposed project is due in the office of the Provost and Dean of Faculty no later than February 15th. Upon completion of the leave, a faculty member will submit to the President and Provost and Dean of Faculty, within 60 days, a short written report of his or her activities and accomplishments while on leave.

#### **c. Leaves of Absence Without Pay**

A leave of absence consists of a temporary suspension of teaching and other duties at the Colleges. During this period the faculty member receives no pay (except as noted below) but retains his or her faculty status and tenure. Years in which one or more semesters are spent in leave of absence without pay will ordinarily not be counted as part of the probationary period for tenure, nor toward promotion. Faculty members and departmental chairs are advised to consider carefully the implications of leaves of absence for the timing of reviews and future sabbatical eligibility.

A request for a leave of absence must be submitted in writing to the Provost and Dean of Faculty, with the prior approval of the department chair, and should include a statement of the faculty member's plans. A request for a leave made after the deadline will, if granted, be contingent on the availability of a suitable replacement. Faculty are expected to consult with the Provost and Dean of Faculty regarding plans which would result in a request for leave of absence in a timely way, as when making application for a grant or fellowship.

A leave of absence will not be granted for a period longer than one year, and will not be granted for the year that follows the year of a sabbatical leave if that leave of absence would result in an absence for more than two consecutive years. An exception to this may occur when a tenured member of the faculty holds a temporary administrative appointment at these Colleges, or in extraordinary circumstances with the approval of the President.

During a leave of absence, the Colleges will continue to contribute to the insurance programs of the faculty member provided that:

- (1) The faculty member is furthering the programmatic development of the Colleges.
- (2) The faculty member continues to contribute his or her portion of the premium.
- (3) The faculty member agrees in writing to repay the Colleges for all such contributions by the Colleges to his or her insurance if for any reason he or she does not return to the Colleges at the end of the leave of absence.

The Colleges seek to encourage and support faculty who are awarded grants and fellowships. In general, when a grant, fellowship, or leave of absence without pay provides for the recovery of a faculty member's salary by the Colleges, a department may expect to replace his or her time, to the extent permitted by the recovery of such an individual's salary and exclusive of continued contributions to insurance and the retirement funds and any supplemental support provided by the Colleges. Such replacements will be authorized by the Provost and Dean of Faculty contingent upon the department's approval of the faculty member's absence and the Provost and Dean of Faculty's approval of the faculty member's plans.

**d. Supplemental Leave Compensation for Faculty Awarded Nationally Competitive Fellowships**

In cases where members of the full-time faculty receive nationally competitive fellowships and such fellowships provide a stipend less than the faculty member's normal salary for that period, the following rules shall apply:

- (1) Faculty may be paid sabbatical pay in such fellowship years if they are entitled to sabbatical leave in the normal sequence of leaves. It is understood that sabbatical leaves and the leave of absence are incorporated one into another, and that the sabbatical time is thus used. The combined total of the sabbatical pay and the national fellowship may not exceed the normal compensation for the period of the fellowship, unless approved by the Provost.
- (2) Where there is no sabbatical leave eligibility, the Colleges will award compensation up to 10% of salary toward narrowing the gap between the amount of the fellowship stipend and the normal salary.

- (3) Where a full-time faculty member wins a nationally competitive fellowship to support him or her for a semester or the entire year, and where the amount of the fellowship stipend is less than the amount of the faculty member's salary, the Colleges will continue the normal package of benefits as though the faculty member were on full salary with the exception that the Colleges' contribution to the faculty member's TIAA/CREF account shall be based on the actual salary paid by the Colleges during the period of leave.

Supplemental compensation will be paid only in those cases in which the details of the fellowship and salary were reviewed with and approved by the Provost and Dean of Faculty before the grant application was submitted. In this manner it will be fully understood in advance by all parties what the financial situation for each individual will be. The faculty member will agree in writing to repay the Colleges for all supplemental compensation and contributions by the Colleges to his or her insurance and retirement, if for any reason, he or she does not return to the Colleges at the end of the leave of absence.

**e. Family and Medical Leave Act, Faculty Classroom Leave Policy and Faculty Disability Policy**

Faculty electing leave of one semester under any of these three policies do not lose step or sabbatical accrual and time spent in such leave will not count toward retention and promotion reviews. The faculty member may elect to stay on the original tenure clock. Such election must be made by December 1 in the semester before Review I and April 15 in the semester before Review II. Disability leaves of more than two consecutive semesters may or may not postpone step and/or the timing of tenure and promotion reviews, as agreed upon between the individual and Provost and Dean of Faculty in writing, no later than the end of the period of disability leave.

**5. END OF CONTRACT POLICIES**

Faculty whose terms of appointment have come to an end are expected to vacate their offices and return all keys to Colleges' property to the Office of Human Resources by the close of business hours on the last day of employment, unless alternative arrangements have been made with the departmental chair and Provost and Dean of Faculty. All Colleges-owned property, including computers, printers, and laboratory equipment and instrumentation, should be secured in the office or a departmental area. All items (including equipment, materials, books, computers, furniture, etc.) purchased by the Colleges for a faculty member, including those purchased with start-up funds, must be returned to the Colleges unless other arrangements are made and approved by the Provost and Dean of Faculty in consultation with Department/Programs. All library books must be returned by this date as well. Failure to meet any of these conditions may result in the Colleges postponing release of final paychecks until such conditions have been met.

**6. RELIEF PROCEDURE FOR BYLAW AMENDMENTS**

Procedures for applying for relief from application of changes made to the review process in the Faculty Handbook, Part 1, ByLaws:

At the time of hire, all faculty are presented with criteria for evaluation, as articulated in the Faculty Handbook, Part 1: Bylaws. If the review process in the Bylaws is amended, the new rules will apply to all reviews subsequent to the time of the change, unless the faculty member applies for relief from the new rules/criteria and elects to apply the rules/criteria currently in effect for that faculty member (either the rules in effect at the time of hire or newer rules in the case of amendments passed subsequent to the time of hire and for which relief was not applied.)

- a. Procedure for applying for relief  
No later than August 1 in the year a Bylaw amendment to the review procedures takes effect, the Dean of Faculty's office will contact all tenure track faculty at the assistant and associate level

asking if the faculty member requests relief from the new procedures. Such election must be received in writing to the Dean of Faculty's office no later than September 1 of the same year. If no reply is received, then the faculty member has not asked for relief and the amended rules will apply to all subsequent reviews. The office of the Dean of Faculty will keep a record of the responses of faculty members indicating which review procedures will apply. The Dean of Faculty's office will also keep all versions of the Bylaws, inform the appropriate CoTap of the relevant version for any review, and provide that version to both the department of the candidate and the appropriate CoTap. [Revised May 2013]

### III. RELOCATION POLICY

Effective July 1, 2011, this Relocation Policy applies to all eligible employees as determined by the Provost and Dean of Faculty or the Director of Human Resources. This policy authorizes the reimbursement and/or direct payment of personal moving expenses.

#### 1. Eligibility

- a. All requests for moving expenses must be approved in advance by the Provost and Dean of Faculty for academic appointments or by the Director of Human Resources for non-academic appointments.
- b. Relocation expenses will be on a reimbursement basis except in the instance that the faculty member/administrative staff member uses the Colleges' preferred moving company vendor.
- c. Limits:
  - 1) Tenure-Track Faculty and Full-Time Administrative Staff:
    - Commercial Movers: Relocation expenses will be reimbursed 50% of total costs but limited to a maximum of \$3,500.
    - Self Moves: Relocation expenses will be reimbursed 100% up to a maximum of \$2,000. **Please note: original receipts for all related expenses will be required in order to be considered for reimbursement.**
  - 2) Nontenure-Track or Visiting Faculty: Reimbursement of relocation expenses will be limited to a maximum of \$500.

#### 2. Expenses

##### a. Direct Payment Method

The Colleges have entered into an agreement with United Van Lines/Corrigan Moving Systems. If an employee uses United Van Lines the Colleges has agreed to make direct payment of the 50% of the final invoice subject to the relocation limit to this vendor only. The remaining balance will be the responsibility of the eligible faculty member or administrative staff member.

Contact Information: John Silvernail  
East End/Corrigan Moving Systems  
1133 Emerson Street  
Rochester, NY 14606  
585-295-2232 800-333-0763, ext. 232 Fax 585-647-3004  
email: [jsilvernail@corriganmoving.com](mailto:jsilvernail@corriganmoving.com)

**b. Reimbursement Method**

Moving expenses that do not qualify for deduction under Internal Revenue Service (IRS) Code Section 217 and IRS *Publication 521, Moving Expense*, are eligible for reimbursement but will be **taxable** to the employee.

The Colleges will reimburse the following items as relocation expenses subject to the above limits.

1. Actual charges by moving firms for transporting normal household goods, including packing, crating, in-transit storage and delivery. "In-transit storage" is defined as storing and insuring household goods up to 30 consecutive days after the day household goods are moved from the previous residence and before they are delivered to the new residence.
2. Actual rental and fuel cost for trucks or trailers used for self-moving.
3. Lodging and transportation for only one trip for the employee and members of his or her household.
4. Meals if reimbursed will be **taxable** to the employee
5. Travel-by-car expenses such as gas and oil for car or the standard IRS mileage rate for moving.

**c. Additional Information**

1. No advancement of relocation monies will be allowed.
2. In order for the *reimbursement not to be taxable* to the employee the move must meet the below mentioned allowable requirements for deducting moving expenses by the IRS. For further information on the requirements please refer to IRS Publication 521 Moving Expenses:

- The move is closely related to the start of work.
- The distance test is met.
- The time test is met.

3. All expenses must be substantiated with original receipts.
4. All expenses must be submitted for reimbursement within 60 days after they were paid or incurred.

**d. Payment Procedures**

For reimbursement all receipts and mileage documentation must be submitted to the Provost and Dean of Faculty for faculty members and to the Office of Human Resources for administrative staff members. Payment will be processed through the employee's payroll check and/or direct deposit.

**IV. TEACHING: POLICIES**

**1. CLASSES AND ATTENDANCE:**

All classes and other Colleges' exercises must be held at the regularly scheduled time and place, and for the full period. The time or meeting place of a class may be changed only after consultation with the Registrar.

In the case of an instructor's extended absence from class (more than one week of class meetings), he or she must advise the chair of the department and the Provost and Dean of Faculty, and if possible, notify his or her class in advance. It is expected that the instructor will meet all classes for the full number of hours scheduled to meet in the semester. When possible, rescheduled classes (and the time to which each is rescheduled) should be noted on the

syllabus at the beginning of semester, and the instructor should call attention to such changes; when sudden and unavoidable need requires that a class be canceled without prior notice to the student, it is expected that the instructor make the time up at another time convenient to the students.

Faculty are expected to be available to their students, on campus, through the entire academic semester, including the reading and examination period, unless explicitly excused by the Provost and Dean of Faculty upon written request. Faculty are expected to proctor their own examinations throughout the semester, or if necessary make arrangements with another faculty colleague to do so.

Classes generally end ten minutes before the next class period. All classes should begin and end promptly.

## **2. Course Proposals**

A course proposal form is completed by the instructor of the proposed course in consultation with the department. The completed course proposal form is forwarded to the Registrar, who is responsible for seeing that the information requested is fully and accurately provided. The Registrar will then forward the request to the Committee on Academic Affairs, maintain a record of that committee's action, and communicate action taken back to the department.

## **3. Course Evaluations**

All members of the faculty are expected to conduct course evaluations in all courses taught each semester, utilizing the common institutional form (and any other procedures in use within their department/program) as available from their department/program secretary. Course evaluations are ordinarily distributed by the instructor and collected by an individual other than the instructor at the end of the semester. Students are not asked to identify themselves by name. Subsequently, a department/program's secretary or chair is responsible for maintaining a secure file of each faculty member's department/program course evaluations, including maintaining a record of access to each file. Evaluations for general curriculum courses (First Year Seminars and Bidisciplinary courses) are forwarded to the Provost's Office and maintained there. Evaluations for off-campus programs and courses are forwarded to the Director of Global Education and are also maintained there. Course evaluations will be kept on file for five years for Full Professors and ten years for Associate Professors and Assistant Professors. Evaluations for faculty members who have retired or have left the Colleges will be kept on file for two years after the termination. See the Faculty By-Laws and departmental Standards and Criteria documents for use of evaluations in the review process. (Revised 4/24/03)

## **4. Common Elements in Syllabi**

Faculty can foster the academic success of our students by making sure the syllabi for our courses are clear and contain appropriate guidelines for success. COAA recommends that all syllabi include clear information about the following:

1. Contact information
2. Required course materials
3. Office hours
4. Course/learning objectives
5. How the course addresses curricular goals
6. Attendance policy
7. Course calendar
8. Required readings
9. Grading policies
10. Final exam details
11. Classroom participation

12. CTL Disability statement
13. Late work policy
14. Clear outline of assignments
15. Out of class time requirements
16. Statement on academic integrity and plagiarism

Faculty may not penalize students for not attending seminars, movies, field trips, etc that are not clearly indicated with dates and times on the syllabus on the first day of classes.

In addition, students and faculty have indicated that these elements might also be helpful:

1. Optional course materials
2. Suggestions for successful completion of papers and other assignments
3. Information about Teaching Fellows, Teaching Colleagues, Writing Colleagues, Teaching Assistants, etc

**5. Field Trips** Occasionally, fieldwork and extended fieldtrips which are integral to the work of a course unavoidably require that students be absent from campus for prolonged periods through the academic day. In such cases the schedule of such work must be clearly indicated on the course syllabus and attention called to it during the first class meeting. Instructors are also asked to indicate required fieldwork which might conflict with students' other academic obligations in the Registrar's Course Schedule and Registration Handbook for the term. Alternatively, an instructor might provide multiple opportunities for fieldwork, such that nonconflicting time is available to all students. In any event, the principle should be that students be fully informed of such work, that such absences are not "excused", and that -- so informed -- they accept responsibility for any conflicts which arise.

## **6. Final Examinations**

Normally, a written examination is given to all students registered in a course during the examination period at the end of each semester. The examination is given during the period specified by the Examination Schedule. **It is most important for our academic coordination that faculty not reschedule finals.** If the exam schedule does not allow you to meet the senior grade deadline, you may arrange any alternate procedure which seems appropriate in order to evaluate the seniors by this time. Only the Dean may excuse a student from a final examination. A student who has three or more final examinations on the same day may ask his or her dean, in consultation with the professor, to move one of them to another exam period. Normally, examinations are given in the classrooms where the course meets. Anyone who must have additional space should consult the Facilities Coordinator.

An instructor may substitute for the written final examination a take-home final exam or some other suitable method of determining a student's final level of achievement in the course. When this option is exercised, work done in lieu of a written examination is due at the time of the scheduled final examination. In the case where a course does not include a final examination, the professor is encouraged to use the scheduled exam period, or a part of it, as a last class meeting.

## **7. Reporting of Grades**

Faculty members are asked to report their grades as soon as possible, but no later than 96 hours after the final examination has been given. Any delay will result in students not receiving grades on a timely basis. This restricts the review of students' academic records by the Committee on Standards and can adversely affect their ability to register for the next semester. The exception to this rule is a shorter deadline for senior grades at the end of spring semester. Senior grades are due by 11:59 p.m. on the Tuesday before Commencement.

## **8. Plagiarism and Cheating**

All students and faculty members are responsible for familiarizing themselves with the Colleges' regulations and definitions concerning plagiarism and other forms of cheating. Plagiarism is defined as the adoption or reproduction

of ideas or words or statements of another person as one's own, without due acknowledgment. Cheating ranges from downright dishonesty to subtler practices which are questionable from the point of view of the value of individual improvement of skills.

Any student who has been judged by an instructor to be guilty of plagiarism or cheating as defined above, or of knowingly assisting another student in such an act, will withhold the grade for the course and report the facts to the Dean. All cases of suspected plagiarism or cheating, whether deliberate or seemingly inadvertent, must be so reported, in order to invoke the hearing procedure, as follows: Any student accused of plagiarism may request a Committee on Standards hearing. Determination of the student's guilt or innocence will be made at this hearing; until that time, the grade for the course is to be withheld. At this hearing, the dean, in consultation with the Committee on Standards, will review the case, study the student's complete record, and hear from both the student and the instructor. At the end of the hearing and after consultation with the Committee, the instructor will determine an appropriate grade for the course, but the dean and the Committee on Standards may consider further penalties which may include suspension or separation from the Colleges. If the student is exonerated, the incident will not be entered in his or her permanent record, and all communications pertaining to the case will be destroyed. If suspended, the student will not be permitted to take final examinations in any of his or her courses. It should be noted that normally, guilt or innocence of plagiarism or cheating is determined by the Committee on Standards and the dean primarily on the basis on the factual evidence submitted by the instructor. A student's ignorance of what constitutes these offenses or of the rules concerning them is not considered to bear on this question. If a student is judged guilty, circumstances surrounding his or her action may be taken into consideration in determining appropriate penalties. Students who are found guilty of plagiarism or cheating normally will not be eligible for academic honors or prizes.

#### **9. Student Grade Appeals**

The assignment of grades remains in all cases the final responsibility and prerogative of the instructor, subject only to the Colleges' policies on authorized withdrawals and changes of grade, as described in the Colleges' Catalogue.. [http://www.hws.edu/catalogue/Disagreement with or disappointment in an instructor's evaluation of his or her work may not be considered grounds for a students' request for reconsideration of a grade.](http://www.hws.edu/catalogue/Disagreement%20with%20or%20disappointment%20in%20an%20instructor's%20evaluation%20of%20his%20or%20her%20work%20may%20not%20be%20considered%20grounds%20for%20a%20students'%20request%20for%20reconsideration%20of%20a%20grade)

A student may petition that the grade awarded in a course be reconsidered if the student believes a computational error exists, including error arising from an instructor's failure to evaluate the student's work fully or in a way consistent with the evaluation of other students' work or the instructor's written grading policy for a course.

The procedure is as follows:

- (1) A student considering such an action must first consult with his or her dean. The dean will consult with the instructor and attempt to assist in resolving the student's concern. If the dean is unable to resolve the difficulty directly with the instructor, the departmental chair will be consulted. In the event that the dean is unsuccessful in resolving the student's concern, that student may present his or her request to the Committee on Standards. The Committee may, at its discretion and after consultation with the student's dean, instructor, and adviser, ask the instructor formally to reconsider his or her computation of the grade, if it feels that adequate grounds for reconsideration may exist. If the instructor agrees to reconsideration and the Committee is convinced that the instructor has adequately met the student's concerns, the matter ends there. If the instructor declines such reconsideration, the Committee may, at its discretion, forward a formal report of the case to the dean of faculty for further discussion.

#### **10. Religious Observation**

No student shall be prevented from participating in any examination, study, or work requirements because of religious obligations and practices. The Colleges accept the responsibility of making available to each student who is absent from class because of religious obligations and practices an equivalent opportunity to make up any examination, study, or work requirements missed because of such absence on any particular day or days. In effecting these provisions, the Colleges' administration and faculty agree to exercise the fullest measure of good faith and agree that no adverse or prejudicial effects shall result to any student who avails himself or herself of the Colleges' policy on religious observances. It is the student's obligation to inform faculty of any necessary



accommodation well in advance of the date on which special accommodations are needed.

#### **11. General Academic Regulations**

Faculty are directed to the "Academic Policies" section of the Colleges' Catalog for details of the Colleges' policies regarding incompletes, course withdrawals, leaves, grades and grading policies, and other general matters of academic policy governing students and faculty. Requirements for the degree are also described in the Colleges' Catalogue which is available online or in printed format (upon request).. <http://www.hws.edu/catalogue/>

### **V: TEACHING RESOURCES**

#### **1. CURRICULUM SUPPORT FUNDS**

In addition to funds for scholarly research, the Colleges may offer grants in support of curriculum development. Support under these grants is not for normal scholarly research and publication within a faculty member's discipline. Instead, these grants are designed to assist a faculty member in his or her development in one or more of the following areas: study in areas new to him or her and designed to enhance that person's knowledge and skills; planning of specific course or program which differs from that in which a person is now engaged and which will make a positive contribution to the Colleges' curriculum; and development of new teaching and/or classroom techniques which will enhance the effectiveness of the instructional program. These funds are administered by the Provost and Dean of Faculty.

The Center for Teaching and Learning (CTL) offers faculty grants for projects that enhance teaching and learning at the Colleges, specifically those designed to creatively transform classroom or laboratory practice and to expand opportunities for rigorous engagement with course content. Projects may include experiential learning, oral communications, collaborative learning, technology, cross-cultural or multicultural methodology, community-based learning, curriculum development, critical thinking skills, disciplinary writing, or, more generally, any imaginative projects aimed towards improving teaching and learning at HWS.

#### **2. OFFICE OF THE REGISTRAR**

The Office of the Registrar: 1) maintains student academic records; 2) is responsible for course registration, enrollment verifications, and monitors degree requirements; 3) produces identification cards for all students and employees and international student identification cards; 4) produces the final examination schedule; 5) processes grades and mails grade reports; 6) reserves classrooms; 7) and produces academic transcripts, counseling reports, degree audits, and registration confirmations. The Office of the Registrar is responsible for the Schedule of Courses offered each semester, and receives proposals for new courses for Committee on Academic Affairs action. Prior to each semester, the Registrar's Office sends out an updated listing of courses. Federal regulations pertaining to the release of information for a student are detailed in Institutional Policies and Procedures.

#### **3. WARREN HUNTING SMITH LIBRARY (<http://library.hws.edu/>)**

The Warren Hunting Smith Library houses a comprehensive collection, containing monographs (350,000 items), journals, newspapers, microforms and the Hobart and William Smith Colleges Archives. Through membership in the ConnectNY Library consortium, the Rochester Regional Research Library Council, the IDS Project and participation in OCLC the Library provides faculty and students with access, via inter-library loan, to holdings in many other library collections. The Library provides a broad array of services for faculty, from classroom instruction to collection development; faculty can contact their department's library liaison or inquire in the Library for more details.

**a. Faculty Study Carrels Policy**

- 1) Carrels are ordinarily assigned on the basis of need, with the following priority:
  - (a) Faculty who are on leave and in residence for the period of the leave, for the period of his or her leave, upon assurance that the carrel will be used on a regular basis.
  - (b) Untenured tenure-track faculty engaged in scholarly projects requiring continual or substantial access to the library's collections, upon application describing the project and resources required.
  - (c) Tenured faculty and others in ongoing appointment engaged in scholarly work utilizing the library's resources, upon application describing the work undertaken and resources required.
  - (d) Emeriti faculty engaged in active research, upon application describing that research.
  - (e) Temporarily-appointed faculty in greater than half-time appointment engaged in scholarly work utilizing the library's resources, upon application describing the work undertaken and resources required, on a space available basis. It is understood, however, that it is the Provost and Dean of Faculty's responsibility to provide office accommodation for all faculty and that temporarily appointed faculty will not use carrels to meet students or otherwise as a substitute for a regular office.
- 2) Faculty making joint application to share a carrel may receive special consideration, assuming that both are otherwise eligible for assignment.
- 3) Carrels will ordinarily be assigned on an annual basis for a year's tenancy. Assignments may be renewed to a maximum of three consecutive years. Assignments beyond three consecutive years may be made (see Procedures) but will be considered exceptional.
- 4) It is to be expected that all faculty who are assigned carrels will use them on a regular basis. Use of a carrel may not be sublet by one faculty to another or to a student. A faculty member who knows that he or she will not be actively using a carrel for a semester or more, but who wishes to maintain the assignment, may ask that the carrel be temporarily reassigned for the period.
- 5) Carrels are not offices and it is understood that occupants should not use carrels to substitute for a regular office. Access to carrels is only during regular library hours; hours are posted on the library's webpage and at the main entrance. As a matter of building security and maintenance, it is occasionally necessary for library staff to access carrels.

**b. Procedure**

- 1) Applications for new assignments and renewal of existing assignments will be made to the Faculty Library Committee by April 15 for each subsequent year or portion thereof. Applicants will be advised of assignments by the end of Spring semester, as well as of the date upon which the carrel may be occupied. Carrels not claimed within the first month of the semester for which they were requested, will be considered forfeit and may be reassigned.
- 2) Applications must clearly indicate the grounds upon which application is made, including a description of any scholarly work in progress or to be undertaken and the use of the library resources necessary for such scholarship.
- 3) Assignment of a carrel to an individual for longer than three consecutive years requires the recommendation of the Faculty Library Committee and the approval of the Provost and Dean of Faculty.

- 4) Management of carrel assignments (i.e., who gets what) is the responsibility of the Library Director.
- 5) The Library Director may temporarily assign vacant carrels for the duration of the current academic year. Temporary assignments that exceed a semester will be counted as one year for the purposes of reapplication.

#### **4. THE COLLEGE STORE**

The College Store is an academic support facility owned and operated by Hobart and William Smith Colleges . The College Store carries both new and used textbooks and conducts a used buyback at the opening and closing of each semester. In addition to textbooks, the College Store carries a wide selection of general books (including books on tape), as well as a variety of other items. (<http://collegestore.hws.edu/home.aspx>)

**a. Textbook & Supply Orders (adoption forms: <http://collegestore.hws.edu/SiteText.aspx?id=4788>)**

Faculty are requested to file accurate, timely, and complete information on all textbook adoptions and supply requisitions. Textbook Adoptions/Requisitions are due each November 15th and April 15th for the Spring and Fall semesters, respectively. Late textbook adoptions are due December 15th and May 15th for the Spring and Fall semesters, respectively. Resource materials for faculty members are available on the Adoption Forms tab of The College Store's website at [collegestore.hws.edu](http://collegestore.hws.edu). Faculty members are encouraged to submit textbook adoptions online via the Faculty Adoptions tab on The College Store's website at [collegestore.hws.edu](http://collegestore.hws.edu). Textbook requisitions should be submitted promptly. This allows the Textbook Manager to generate buy-back lists that in turn benefit the students with better sell-back dollars during buy backs which are conducted at the end of each semester by used textbook wholesalers. Timely submissions of textbook adoptions also provides the Textbook Manager adequate time for problem solving: i.e., out-of-print, out-of-stock, damaged books, title changes, add-on-titles, etc. (Title changes or add-ons must be submitted in writing.) The same timing applies to supply orders. The Textbook Manager and Supply Coordinator are available to discuss any special attention matters at 315-781-3449 (x3449)

**b. Desk and Examination Copies**

A desk copy is a textbook sent to a faculty member after it has been adopted for classroom use. Desk copies may be obtained by completing a desk copy request (available from the departmental secretary or the textbook office at the College Store) and mailing it to the publisher's representative. Mailing this desk copy request directly to the publisher may delay the process considerably; if you do not have the name and address of the publisher's representative, ask at the textbook office. Examination copies should be ordered directly by the faculty member by contacting the publisher. Publishers vary in their practices, but may bill for examination copies of texts not subsequently adopted for class use.

**c. Reprint Material**

The first step in the preparation of reprints for course use is obtaining permission for the use of copyrighted material. The College Store in conjunction with University Custom Publishing will create the requested Coursepack upon securing copyright permission.

Applications for copyright permission may be obtained upon request from the College Store via the textbook department. Completed applications, along with photocopy-ready material, should be returned to the store for submission to University Custom Publishing. Coursepacks typically require 6-8 weeks from the time material is submitted until the Coursepack is available for sale to students.

All reprints remain the property of the academic department. At the end of the semester, departments are debited for the number of copies not sold and all the remainders are destroyed at the end of the period of permission extended to

the Colleges by the copyright holder.

These procedures are for the purpose of protecting college employees and/or the institution from any liability in possible copyright infringement action or abuse. College employees have the right to refuse to print or sell any reprint which does not meet the above requirements.

The manager of the store is available to discuss any matters concerning copyrights and Coursepacks at x3449.

**d. Special Orders**

Faculty are invited to order books for their personal use. You can see the General Book Manager on the main floor of The College Store to discuss books you are interested in purchasing. Faculty members are encouraged to provide The College Store with lists of authors and titles whose works would be a worthwhile addition to the academic categories of the general book department.

The general book department features a Colleges' People section. Faculty members are encouraged to notify the General Book Manager regarding any material they have published. This information should be submitted in writing.

**e. Discounts**

Persons employed by the Colleges receive a 10 percent discount on purchases, excluding sale items and textbooks. Employees are allowed to charge personal purchases. Accounts may be set up through the Account Coordinator's office located on the main floor of The College Store.

**5. CLASSROOM AND EVENT SUPPORT**

Classroom and Event Support, a team within the Department of IT Services, provides a variety of support for members of the Colleges community and aids for teaching, professional research, publications, public lectures, symposia, and other official college events. Support services generally fall into two categories: equipment setups and media production. Traditional AV setups include: film showings (with technical support available, if needed); support of the campus Smart Classrooms which include a variety of technology such as computer, projector, VCR, DVD as well as other technology such as slide projectors, overhead projectors, public address systems and general audio support.

Faculty are directed to the Support Center at <http://www.hws.edu/itservices/index.aspx> which includes how to set up many of these services.

**6. CENTER FOR TEACHING AND LEARNING (<http://www.hws.edu/academics/ctl/index.aspx>)**

The Center for Teaching and Learning (CTL) cultivates intellectual engagement, critical thinking, intellectual inquiry and academic achievement. As part of the Learning Commons, we reach out across campus to support both faculty and students at Hobart and William Smith Colleges. Students with disabilities requiring accommodation must register with the Center for Teaching and Learning, which will provide documentation and facilitate any necessary accommodations.

The CTL professional staff is available for consultation during regular business hours throughout the academic year; other services are available during many hours that the library is open.

**a. Resources for Faculty: [http://www.hws.edu/academics/ctl/services\\_faculty.aspx](http://www.hws.edu/academics/ctl/services_faculty.aspx)**

- b. **Resources for Students:** [http://www.hws.edu/academics/ctl/services\\_students.aspx](http://www.hws.edu/academics/ctl/services_students.aspx)

## 7. SALISBURY CENTER AT TRINITY HALL

- a. **Career Services** (<http://www.hws.edu/academics/career/>)

Located on the first floor of Trinity Hall, the Salisbury Center for Career Services assists students as they conduct a self-assessment, explore career options, consider professional or graduate schools, and search for employment. The staff at the Salisbury Center for Career Services administers interest inventories, meets individually with students and facilitates workshops on topics that include career decision-making, resume/cover letter writing, interviewing skills, job search strategies, professional/graduate school, internships and externships and summer jobs. In addition the office organizes career panels and fairs, provides internship and externship opportunities, coordinates professional/graduate school and recruitment programs, houses a comprehensive career resource library, maintains alumni, alumnae and parent career contacts and publishes The Pathfinder career newsletter.

### 1) Guidelines for Faculty Recommenders

The Family Educational Rights and Privacy Act of 1974 (revised 1988), commonly referred to as the Buckley Amendment, is designed to protect the privacy of students and to provide for their right to inspect and review educational records. A letter of recommendation written on behalf of a student represents one such educational record, and is therefore subject to the provisions of the Buckley Amendment.

The Salisbury Center for Career Services offers a recommendations file service to assist students in their search for employment and/or admission to graduate or professional school. A file may be started at any point during a student's academic career or after graduation; files are maintained for a minimum of 10 years.

### Policies and Suggestions

Faculty have the right to refuse a request for a letter of recommendation. A student has the option to sign the waiver of his or her right of access to each recommendation before the letter is written. A letter without a signed waiver is considered non-confidential; the student will be able to review and/or receive a copy of the letter. A signed waiver indicates to the letter writer and the recipient of the recommendation that the student has not seen it and will not see it. The Career Services' staff will not reveal to the student the content or tone of a confidential letter.

Completed recommendation forms should be returned directly to Career Services. All letters submitted to a student's recommendation file become the property of Hobart and William Smith Colleges and are stored in Career Services. Copies of the letter are released only upon the student's written request. Under no circumstances will a letter of recommendation be destroyed until the entire student file is destroyed.

Upon receipt of a letter of recommendation, Career Services will notify the recommender and the student that the letter has been received and included in the student's recommendations file.

If the author wishes to make changes in or update a letter of recommendation previously placed in a student's file, he or she is required to submit an entirely new letter. The student is notified that a new letter has been added to his or her file, and the original letter is maintained as an inactive part of the file. It is not destroyed until the entire contents of the file are destroyed, and it is not available for disclosure. Since the student has the option of waiving his or her right of access to each letter of recommendation, she or he must sign the waiver for the new letter prior to its being written, if the letter is to be confidential.

- b. **Center for Community Engagement and Service Learning (CCESL)**  
(<http://www.hws.edu/academics/service/>)

The Center for Community Engagement and Service Learning provides students opportunities that help them build the skills necessary for active citizenship.

c. **Global Education** (<http://www.hws.edu/academics/global/>)

The Colleges offer a variety of off-campus programs in diverse geographical regions and academic areas of interest. The Global Education web site explains each off-campus program scheduled for the coming academic year and outlines those programs scheduled for the following academic year. Faculty interested in directing an off-campus program are encouraged to discuss their interest with the Director of Global Education as early as possible, and must submit a proposal to the Global Education Committee, as much as two full academic years in advance. A variety of policies regarding travel allowances, cost-of-living adjustments to compensation, family support, and the director's responsibilities apply specifically to faculty directing off-campus programs. Questions regarding off-campus programs can be directed to the Director.

## 8. FACILITIES

a. **The Henry W. Hanley Biological Field Station and Preserve**

The Hanley Biological Field Station and Preserve of Hobart and William Smith Colleges is a private area available for instruction, research, and nature study. Members of the college community are welcome to use it for activities including hiking, nature study, ski touring and similar recreation. No rocks, plants, or animal specimens may be collected for any reason without special permission. If you are interested in visiting the Hanley Preserve, please contact the chair of the Department of Biology for information on its location, use, and restrictions.

b. **The William Scandling**

Hobart and William Smith Colleges' Research Vessel, *The William Scandling*, is available for use by qualified Colleges staff, and to outside institutions, organizations, and investigators via application. Use of the vessel may range from participation in our pre-planned cruise program, involving students in the basics of oceanographic technique, to extended research voyages designed to meet the needs of the most sophisticated specialist. For additional information, availability, and cost, contact the vessel captain at 781-3758.

c. **Transportation Vehicle Policy** ([http://www.hws.edu/offices/conferences/pdf/driver\\_auth09.pdf](http://www.hws.edu/offices/conferences/pdf/driver_auth09.pdf))

HWS Colleges have vehicles that are available on a charge-back rental basis to the department or program office for the following college functions, with priority in the order listed.

- 1) educational field trips Trips which are a part of current course work. Educational field trips must be accompanied by a member of the faculty, staff, or administration.
- 2) athletic trips Trips to scheduled athletic events, for team members and coaches only. Athletic trips must be accompanied by a coach, or member of the faculty, staff, or administration.

All drivers must pass a College driving test and furnish evidence of a valid driver's license acceptable in New York State before driving a Colleges vehicle. The full policy and information can be found using the link above.

## VI. SCHOLARSHIP AND RESEARCH: POLICIES AND RESOURCES

### 1. FINANCIAL SUPPORT

**a. Grants in Support of Scholarship**

Limited funds are available for grants to encourage and aid faculty members in their scholarly and creative work. These funds are administered by the Faculty Committee on Research and Honors, a subcommittee of the Committee on the Faculty.

Faculty Research Grants for expenses may be made to help defray such costs as copying, supplies, travel expenses and rental of equipment. Requests should be directed to the Faculty Committee on Research and Honors and must include the title and description of the project and a short budget showing the amount requested and the items of expenditure. These grants are to cover budgeted expenses, up to an amount set annually by the committee. No faculty member without a terminal degree is eligible. A faculty member may reapply for an additional grant after he or she has submitted a statement certifying the appropriate expenditure of a previous grant, but funds for this purpose are limited and the committee will endeavor to meet the *bona fide* needs of as many applicants as possible. A due date for applications (normally in early spring) is established and announced each year.

**b. Application for External Support**

Faculty who seek external support are encouraged to plan well in advance of leaves or anticipated projects. They should inquire with the office of grants (<http://www.hws.edu/offices/grants.aspx>) to learn about the appropriate process. All proposals submitted to external organizations must be accompanied by a Grant Proposal Authorization Form prior to submission; forms are available on the above website.

Since careful coordination of funding efforts is important, all faculty grant submissions to external funding agencies/foundations must be reviewed well before submission by the Provost and Dean of Faculty and the Director of Sponsored Programs. All applications for external support require the approval of the Department Chair and Provost and Dean of Faculty in advance of submission. Proposals and applications requiring the use of institutional funds may require the further approval of the Vice President for Finance and Administration, the Director of Human Resources, and Information and Technology Services. Any request for course release as part of a proposal for external support must have the explicit approval of the department/program chair and the Provost and Dean of Faculty. Normally, faculty members may not seek more than three course releases in any three-year period so as to ensure the equitable distribution of teaching responsibilities within departments and programs. In addition, it is expected that externally funded course releases will be charged to the grant as a proportionate share of the faculty member's compensation.

**c. "Effort Reporting" for Faculty Participating in Federal Grants and Contracts**

Under federal funding rules and regulations, the Colleges are required to provide documentation of effort for all faculty and other personnel receiving salary support from federally-supported grants or contracts. This includes both research projects and programmatic grants. The following policy and procedures apply.

- 1) Policy
  - a. Salaried Faculty and Staff

All personnel who have part or all of their salary charged to federal or state grants or contracts must submit periodic effort report forms during the period of the grant or contract. The report forms record the percentage of effort spent on grant or contract activity and time spent on institutional responsibilities. If effort forms are not submitted on a timely basis, the Colleges will not be able to draw the grant or contract funds and departmental accounts will be charged for salary costs.

- b. Hourly Employees

Individuals who are paid on an hourly basis should identify the hours worked on a grant or contract by grant number on their regular bi-weekly time sheets.

## 2) Procedures

Since procedures exist for effort reporting for employees paid on an hourly basis, the procedures below apply to salaried faculty and staff.

Effort report forms are submitted at the end of each term (Fall, Spring, Summer) for the term of each grant or contract where there is a salary charge. Blank forms can be obtained from the Business Office or the Grants Office. The completed and signed forms are due at the Business Office in Demarest Hall five working days after the end of each term. The Business Office will record the receipt of the forms and provide a reminder if the forms are late. The effort reports will be reviewed for consistency with the grant or contract budgets and allowable expense. Further details are contained in the document entitled "Introduction to Effort Reporting," available from the Business Office.

## 2. THE USE OF HUMAN SUBJECTS IN RESEARCH

Consistent with federal regulations (CFR 45 part 46), if you plan to conduct a research project involving living human subjects on the Hobart and William Smith campus, or are a Hobart and William Smith faculty, staff, or student member involved in such a project elsewhere, then you will need approval from the Institutional Review Board (IRB) before you proceed. In addition to obtaining approval from the IRB, external (non-HWS) researchers also need to obtain approval from the Vice President for Student Affairs to do research on Hobart and William Smith students, or from the Provost to do research on Hobart and William Smith faculty or staff.

Many research projects pose little or no risk and may be exempt from full IRB review, but must be reported to the IRB and certified as exempt by the board. All other research will be formally reviewed by the IRB, although the review of course-based student research follows a different procedure from full reviews of individual research. The application form, along with any consent forms and questionnaires, should be mailed (both electronically and in signed hard copy) to Kelly Switzer in the Provost's Office, at least 2 weeks before the next scheduled IRB meeting. Please consult the meeting schedule online for the precise dates.

Results of the IRB's deliberations will be communicated to the applicant within a week following the meeting. Questions regarding IRB procedures can be directed to the IRB Chair or any other member of the committee. Please note that the IRB's definition of 'original research' might be more broadly construed than in some disciplines and may include data collection for administrative purposes, for example. For more information: [http://www.hws.edu/offices/provost/gov\\_reviewboard.aspx](http://www.hws.edu/offices/provost/gov_reviewboard.aspx)

## 3. ANIMAL CARE AND USE IN RESEARCH

The Colleges regard the use of animals in research and teaching to be important to the continued progress of biomedical and scientific research and training. However, we are concerned for the welfare of animals and encourage alternatives to their use whenever possible. The Colleges maintain compliance with regulations of the Animal Welfare Act (PL-89-544), Public Health Service Policy, and New York State Public Health Law (Article 5, section 504). These regulations require that all uses of living nonhuman animals within the institution, by faculty or students, be approved by the Institutional Animal Care and Use Committee (IACUC) and govern the Committee's composition and responsibilities. Faculty anticipating the use of living nonhuman animals of any sort for research or teaching should contact the chair of the IACUC via the Office of the Provost, at the earliest possible moment.

## 4. RADIATION SAFETY



The Radiation Safety Officer is appointed by the Provost and Dean of Faculty and oversees operation of x-ray radiation equipment. State public health and environmental protection codes specify procedures for the licensing and safe operation of such equipment and it is the Radiation Safety Officer's responsibility to see that the Colleges are in compliance with these codes. No one may operate x-ray radiation equipment without the permission of the Radiation Safety Officer.

The Colleges do not currently maintain or use radioactive materials. No person shall acquire, use or dispose of radioactive materials without the express prior approval of the Radiation Safety Officer and the Provost and Dean of Faculty.

## 5. SUPPORT FOR PROFESSIONAL TRAVEL

Subject to the availability of funds, the Colleges reimburse each tenured or tenure-track faculty member appointed at least half-time for a portion of the cost of attending professional meetings each academic year. The amount of reimbursement depends upon a faculty member's level of participation in that meeting. Faculty in a full-time (temporary or tenure-track) or on-going position are eligible for a maximum annual grant of \$1,200. All receipts must be submitted for reimbursement. We recognize that these funds may not be adequate for international travel.

### Levels of participation and reimbursement:

Level 1. Presentation of a paper before a state, regional, national, or international meeting of a widely recognized national or international professional organization.

The Colleges will pay 100% of the above costs, up to a total of \$1,200.

Level 2. Discussant, respondent, commentator, panel chairperson, etc., in a professional society meeting, or service in a significant office of a widely recognized state, regional, or divisional professional organization.

The Colleges will reimburse 80% of above costs up to a total of \$400.

Level 3. Attendance.

The Colleges will reimburse 80% of above costs up to a total of \$300.

The Colleges will reimburse the following as described below:

Least expensive practical fare.

Room for up to four nights (\$180/night maximum).\*

Meals and miscellaneous expenses for up to four days (\$60/day maximum).\*

Registration fees.

\* Expenditures are not to be transferred from one day to another. (i.e., if you don't spend \$60 for food one day and spend \$80 for food another day, you cannot move the \$20 to offset the \$80.)

Note: These policies are subject to the availability of funds and may be changed accordingly. The Provost and Dean of Faculty will notify faculty of such changes in a timely fashion. A Faculty Travel Report (found at <http://www.hws.edu/offices/provost/resources.aspx>) and all receipts should be submitted to the Provost's Office after each trip. These forms are available in the Provost's Office, from faculty secretaries, or on-line on the Provost's Office web page.

Faculty presenting a paper or undertaking a significant leadership role in a professional society meeting may apply

to the Provost and Dean of Faculty for supplemental funding.

The Colleges typically pay transportation and reasonable living costs for faculty members who are asked to travel as official representatives of the Colleges, or in connection with recruitment. Faculty traveling to professional meetings to screen and interview candidates are expected to meet the general guidelines for faculty travel to professional meetings, unless an exception is approved by the Dean of Faculty and Provost. Arrangements must be made in advance with the Dean of Faculty and Provost. Use of a personal car for Colleges' business, when authorized, is reimbursed at a standard mileage rate set annually by the Vice President for Finance.

## **6. FACULTY PRIZES**

The Faculty Research and Honors subcommittee of CoFAC annually solicits nominations for and selects recipients for the following faculty prizes:

### **a. Teaching**

Awarded annually for excellence in teaching. Nomination letters must come from an individual with direct experience of the nominee's teaching. Though not a requirement for nomination, supporting evidence such as teaching materials, copies of publications on teaching, programs on teaching to which the nominee was a contributor, a letter from the department or program chair summarizing the nominee's teaching evaluations and comparing these to other department or program faculty are highly valued by the selection committee. The selection committee should also receive a current CV for the nominee.

### **b. Scholarship**

Awarded annually to a colleague for excellence in scholarship. Nomination letters must come from an individual. The selection committee highly values letters explaining the importance of a nominee's work and include evidence (citations, reviews, successful grants, etc.) that demonstrate an impact on the nominee's field generally. The selection committee should also receive a current CV for the nominee.

**c. Community Service**

Awarded occasionally for exceptional contributions to the campus or larger community. Exceptional community service is understood to mean service that either in category or quantity far exceeds that regularly expected of all faculty. The selection committee should also receive a current CV for the nominee.

Nominations for any prize will be maintained by the Faculty Research and Honors Committee and considered current for a period of five years from the date of nomination.

## **VII. GENERAL SUPPORT AND INFRASTRUCTURE**

### **1. COMPUTING FACILITIES (<http://www.hws.edu/itservices/policies.aspx>)**

#### **a. Academic Computing**

The Instructional and Research Technology (IRT) team provides resources and services to promote the use of technology in the teaching and learning environment. In service to the Colleges' mission, the staff supports technology integration in the curriculum by partnering with faculty to develop and enhance the use of instructional technologies and to support exploration of emerging learning technologies.

The staff maintains the Technology Resource Center as a drop-in location for individual training sessions on commonly used software and technology-related course assignments as needed for faculty, students and staff. The Resource Center also has available technology equipment, such as scanners, video editing stations, CD/DVD burning and duplicating, for individuals to use on their own or with assistance.

#### **b. Electronic Mail**

All faculty are provided a 500 MB email quota. Faculty are advised that email communications transmitted over the HWS network must comply with all policies, standards, contracts and licenses of the Colleges, as well as applicable laws. The full Electronic Mail Policy can be found at [http://www.hws.edu/itservices/email\\_policy.aspx](http://www.hws.edu/itservices/email_policy.aspx)

#### **c. Preparing Canvas Sites for the Purpose of Review**

An increasing number of faculty are using Canvas in ways that they wish to share in the context of reviews. Such an artifact is intended to be viewed in a manner similar to paper artifacts that normally reside in a candidate's portfolio (e.g., course syllabi, assignments, etc.).

Faculty may choose to share one or more Canvas sites and/or pages for the purpose of a review by doing one of the following:

1. Printing or creating screen shots of key pages in Canvas that will be referenced and discussed within the candidate's statement.
2. Printing or creating screen shots of key pages in Canvas that are accompanied by a text narrative describing the significance of each artifact.
3. Creating a narrated, screen-capture video that involves the faculty member describing the significance of each artifact and, possibly, the site as a whole.
4. Enabling a Canvas site(s) to be available for review committee members via a unique URL and their HWS credentials. This would be for a defined period of time. The "Make this course visible to authenticated users" setting makes visible most (but not all) course content while intentionally protecting student data;

Related resource: [Steps to Change Course Visibility](#)

Please start early if you want to include Canvas materials in your review. The Digital Learning Team has collaborated closely with FacIT surrounding this topic and is available to consult and support you in this process and may be reached at x4420 or [dlc@hws.edu](mailto:dlc@hws.edu)

## 2. FACULTY COMPUTERS

Desktop computers and other equipment purchased by the Colleges for faculty remain the Colleges' property and may be moved from the faculty member's campus office only with permission from the Provost's Office. When moved to off-campus locations, personal computers, like any office equipment, are not covered under the Colleges' insurance unless additional Accidental Damage and Theft Insurance has been purchased by the department. Otherwise a computer lost or stolen while off-campus is the responsibility of the faculty person to replace, at its full replacement value. Servicing of a malfunctioning computer can be initiated only at the IT Services Help Desk, and cannot be provided for personally-owned machines.

## 3. ADMINISTRATIVE SERVICES

### a. Department of Security and Safety

The Department of Security and Safety is located off Pulteney Street in the service building north of the Medbery parking lot. It is open 24 hours per day and provides continuous campus patrols by uniformed officers on three shifts, seven days a week, 365 days a year. All officers are trained in first-aid procedures and CPR and receive eight weeks of on-the-job training when first hired. In addition, professional-development workshops are held throughout each academic year. Hobart and William Smith security personnel do not have arrest authority, but the department and its director have a continuing, cooperative relationship with the Geneva Police Department and other area law-enforcement agencies. Goals of the security and safety staff are to provide protection for all students and employees of the Colleges and their invited guests, to safeguard real and personal property, and to enforce safety and motor vehicle regulations. The on-campus emergency telephone number is 3333. For routine matters and other security business, call ext. 3656 or 3657. Stickers bearing the emergency number are attached to most campus telephones, and the number is posted at many campus locations.

### b. Department of Buildings and Grounds

Faculty requests regarding basic service maintenance and housekeeping work orders are made by phone (ext 3660) or in writing to the Department of Buildings and Grounds. Departmental secretaries have the work request forms. Once the work order for your request is processed, routine maintenance and requests for repair are prioritized in the order of receipt. Emergency work (e.g., power failure, health or safety hazard, potential damage to facility or equipment) is scheduled for the same day. Non-routine projects and those requiring major repairs and significant capital investment will be assessed and authorized only by appropriate staff members.

Building Maintenance -- General maintenance, carpentry, furniture repair, locks and keys, painting, roofing, heating, ventilation, air-conditioning, electrical, support for campus events. Ext. 3660.

Custodial -- Routine, emergency, and special cleaning, carpet cleaning, classroom supplies, floor cleaning, stripping, waxing, support for campus events, trash removal and window cleaning. Ext. 3660.

Recycling -- Routine and special-event pick-ups, containers, information and education. Ext. 3660.

Grounds -- Landscaping, street, sidewalk, parking lot maintenance, equipment moving, snow removal, road and sidewalk sanding, support for campus events, tree maintenance, material handling and moving. Ext. 3660.

Projects -- New construction, renovation, energy management, engineering services, space planning, building code inspections. Ext. 3801.

**c. Post Office**

The Colleges' Post Office is a contract station of the Geneva Post Office and is located on the first floor of the Scandling Center. It provides postal window services for all classes of mail. All administrative, faculty, and student mail is received and distributed from the Colleges' Post Office. The hours of operation are 8:30 a.m. - 5:00 p.m. daily, and 8:30 a.m. - 11:30 a.m. on Saturday during the academic year. Summer hours are 9:00 a.m. - 12:00, and 1:00 - 4:00 p.m. Ext. 3504.

**4. COMMUNICATIONS (<http://www.hws.edu/news/publicity.aspx>)**

The Office of Communications (ext. 3540) is responsible for local, regional and national media relations, sports information, photography, institutional publications and the Colleges' homepage on the World Wide Web. Major publications include *The Pulteney St. Survey*, the Catalogue, student handbooks and the campus directory.

**5. CAMPUS DINING SERVICES**

Faculty who wish to engage the services of Sodexo, Inc. & Affiliates for departmental or college events funded through their budgets should call ext. 3509 for advice on details of planning and costs.

**a. Common Room (Faculty Dining Room)**

The Common Room is a place for the faculty, staff, and administration of the Colleges to gather and share ideas with their colleagues over an informal lunch. Located in the Scandling Center, this room is also available for catered banquets, receptions, dinners, and brunches. Reservations can be made for evening and weekend events. Details are available from the Catering Coordinator, ext. 3509.

**b. The Café**

The Cafe is located in the Scandling Center and serves daily luncheon specials. The Cafe is a meeting place for faculty and students for casual lunch and conversation.

**c. The Cellar Pub**

The Cellar Pub is located in the basement of Coxe Hall and is a relaxed place for a light breakfast, lunch or dinner. Specialty beer and local wines are served, and there is often entertainment on weekends and selected evenings.

**6. HUBBS HEALTH CENTER**

The Colleges Health Center is located on St. Clair Street for limited medical and counseling services exclusively for students.

**VIII. DEPARTMENT/PROGRAM CHAIR POLICIES**

**1. FACULTY MENTORING AND ADVISING**

“Each new tenure track faculty member will be given a copy of the Faculty Handbook which contains the bylaws describing the standards and procedures for contract renewal and all reviews and promotions and an electronic copy of his/her departmental/program review Standards and Criteria (SAC). Before the eighth week of the faculty

member's first semester, the Provost and Dean of Faculty will arrange a meeting with the faculty member and his/her department or program chair to discuss the appointment letter and the departmental/program SAC. Within one month after the end of classes in the faculty member's first year on campus, the department/program chair will meet with the faculty member to discuss teaching during the first year, examine all course evaluations and identify areas of strength and weakness." (Faculty Bylaws, I. A. 1. b)

It is the responsibility of department and program chairs to generate and sustain an environment where mentoring and support for all faculty can take place. Faculty development and advisement are meant to transcend traditional notions of the junior-senior faculty relationship. The idea of mutual mentoring is encouraged, wherein tenured and non-tenured professors, new faculty and senior colleagues, generate opportunities to learn from one another to grow as scholars and teachers.

## 2. Guidelines for Classroom Observations

### Best Practices for Classroom Observations

Peer classroom observations can provide a means for both assessing and improving teaching methods. While students may provide reasonable feedback on classroom performance with respect to fairness, respect, organization, etc., students cannot fully evaluate whether teaching methods employed are appropriate and current for the subject, whether students are being challenged adequately, or whether the teacher has mastery of the subject matter. Peer review, properly done, is the better way to evaluate these factors. Moreover, reciprocal classroom observations, where faculty agree to observe each other's classes, can foster mutual development of teaching practices and help create a culture of classroom observation that goes beyond evaluative purposes. They can foster an exchange of ideas between the two observing faculty members and provide a way to understand what is being taught and how it is being taught within a department or program.

For summative or evaluative purposes, a classroom observer can be likened to an "educational critic" whose job is to "capture and document the qualities of the teaching transaction so that a reader of the documentation is able to gain a sense of the holistic experience of the classroom."<sup>1</sup> The goal is to illuminate to others how this individual teaches; however, classroom observation is not used only for evaluative purposes. Using classroom observation as a means for *formative* teaching evaluation is vitally important, especially early in the teaching career. Such formative evaluations can be done through the Center for Teaching and Learning (CTL) or by faculty (tenured or untenured) within or outside a faculty member's department. It is strongly recommended that departments/programs assist new faculty in arranging for such classroom observations for formative evaluation.

In the context of working in a small, liberal arts institution that has a predominantly white faculty, classroom observations should consider the cultural identity and linguistic backgrounds of the observed professor, the students in the classroom and the observing professor. Effective classroom observation cannot take place outside the broader context of the course as a whole. The observer should look at the syllabus, relevant assignments, and have access to any on-line materials in order to have a better understanding of what is happening in the classroom. Samples of student work (tests, projects, papers) are also helpful in understanding an individual's teaching process.

Effective classroom observations generally adhere to the following guidelines: (Articles on effective classroom observation and sample forms for the pre-observation meeting and the classroom observation are available at the CTL website section on classroom observations.

[http://www.hws.edu/academics/ctl/services\\_faculty.aspx](http://www.hws.edu/academics/ctl/services_faculty.aspx) .

1. Observers should be instructed on how to observe and report effectively. The Center for Teaching and Learning

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<sup>1</sup> Ingram, Albert and David M. Dees. "'A little help from our friends...': Improving Teaching with Peer Reviews," 3.

(CTL) offers training and resources on effective classroom observation techniques. To develop a systematic procedure for classroom observations, departments/programs should agree on a template for the classroom observation.

In general, templates take three forms:<sup>2</sup>

- a) Narrative log, with or without prompts
- b) Checklist, with comments
- c) Scaled rating form, with comments

2. At least two classroom observation visits by the same observer should be made during the semester of a course.

3. Students should be informed that peer observations will occur during the semester. The observations should be described as department/program policy to improve teaching and learning, and students should be told not to be surprised when another member of the department is sitting-in on a class. (This might be accomplished via an email from the department or program chair at the beginning of each term to all students enrolled in classes in the department or program. The email list of such students is available from the Registrar's office.) This departmental/program announcement is separate from any announcement made by an instructor to a particular class informing the class of a planned observation.

4. The observation should be scheduled in advance. When the date for the observation is set, the time for pre-and post-observation meetings are also arranged. The post-observation meeting should be within one week of the observed class.

5. The observation begins with a pre-observation conversation, in which the following types of issues are generally discussed:

- a) What is the general teaching philosophy of the teacher?
- b) How are students assessed in the course?
- c) What are the goals for the class being observed?
- d) What are the plans for achieving these goals?
- e) What teaching/learning activities will take place?
- f) What have students been asked to do in preparation for this class?
- g) Will this class be typical of your teaching style? If not, why?
- h) Are there areas you would like the observer to focus on during the observation?
- i) Are there other things the observer should be aware of prior to the observation?

The answers to these questions provide a means for the observer to contextualize what is observed in the classroom.

6. The observer should arrive well before class begins. At the start of the class, the observer should be briefly introduced and the students reminded why the faculty observer is there. The observer is not to ask questions or interject or participate in the class, unless invited to do so by the faculty member being observed. The observation should be for the entire class period.

7. The observer should complete any forms, finalize notes and write a report on the observation as soon as possible after the observation, while the information is fresh. The report could include the following elements:<sup>3</sup>

- a) An introductory paragraph. Set the stage by describing how and when you reviewed this person's teaching.

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<sup>2</sup> Nancy V.M. Chism, "Classroom Observation" in *Peer Review of Teaching: A Sourcebook*, 1999 edition., 85.

<sup>3</sup> Taken from Ingram and Dees, 6.

- b) A paragraph on each of the areas specified in the observational template. In general, these will cover the teacher, the students, the content, the mode of teaching (lecture, discussion, small group activities, problem-solving, etc.), the classroom environment, the teachers' style and rapport with students and assessment of students. The observer should describe in neutral, non-evaluative language whatever he or she can about the person's teaching.
- c) A paragraph about what is best about this person's teaching. Describe this person's strengths as a teacher, based on the observations and descriptions from part b).
- d) A paragraph on what can be improved. No one is perfect and concrete suggestions on what can be improved are useful. For example, an activity may have taken too long, or one too many examples were given, etc.

8. The observed instructor should write a brief report on how the class went from her/his perspective, concentrating on the issues raised in the pre-observation conversation.

9. At the post-observation conversation, the observed and observer should discuss their respective observations and exchange reports. The observer should be ready to provide constructive feedback and offer suggestions for improvements. (See the CTL website for characteristics of useful feedback.)

10. The observer and observed provide copies of their reports to one another.

#### Works Cited

Chism, Nancy V.M. "Classroom Observation" in *Peer Review of Teaching: A Sourcebook*, 1999 edition.

Ingram, Albert and David M. Dees. "'A little help from our friends...': Improving Teaching with Peer Reviews." [http://kentstate.academia.edu/AlbertIngram/Papers/582913/\\_A\\_little\\_help\\_from\\_our\\_friends\\_Improving\\_Teaching\\_with\\_Peer\\_Reviews](http://kentstate.academia.edu/AlbertIngram/Papers/582913/_A_little_help_from_our_friends_Improving_Teaching_with_Peer_Reviews)

### 3. CHAIR'S RELIEF

Hobart and William Smith Colleges provide support for departmental and program chair duties through Chair's Relief during the period that a Chair is serving his or her department or program, according to the following:

- 1) Category A: For Chairs of departments with 5 or more allocated tenure-track/tenured faculty, the Chair receives one (1) course reduction per academic year, concurrently taken in that year of service. It is expected that the individual serve a full three-year term. Ordinarily, the course subject to reduction is not replaced.
- 2) Category B: For programs and departments with 3 or 4 allocated tenure-track/tenured lines, the Chair receives, at the end of each academic year of service, a research stipend of \$2,250 against receipts, to be liquidated by the end of the subsequent academic year or stipends may be banked to be used on sabbatical. It is expected that the individual will serve a full three-year term.
- 3) Category C: For programs and departments with 1 to 2 allocated tenure-track/tenured lines, the Chair receives, at the end of each academic year of service, a research stipend of \$1,700 against receipts, to be liquidated by the end of the subsequent academic year or stipends may be banked to be used on sabbatical. It is expected that the individual will serve a full three-year term.
- 4) The Committee on the Faculty will reevaluate the research stipend amount every three (3) years and adjust its value to prevent devaluation from inflation. (Policy reviewed spring 2012, amounts take effect fall 2012.)
- 5) Should the Chair of a program or department with one (1) to four (4) tenure-track/tenured lines conclude that the subsequent year's workload should provide some exception to this policy, the Provost's office, in



consultation with CoFac, is authorized to review the claim and may substitute a research stipend, course release, and/or an adjunct replacement as appropriate.

- 6) A change in the number of tenure-track/tenured faculty lines in a department or program will result in a change in the category of Chair's relief.

## **IX. DEPARTMENT/PROGRAM PROCEDURES**

### **1. PROCEDURES FOR REVIEW OF REQUESTS FOR THE RENEWAL AND AUTHORIZATION OF FACULTY APPOINTMENT LINES**

All programs offering a major shall select a committee of at least four persons in tenurable or on-going positions who shall meet regularly and shall be responsible for establishing principles for program procedures and curricula. This shall also constitute the core committee for search and review deliberations in the program. The Provost's Office shall keep a record of the members of such program committees to be updated as needed.

The following describes the procedure for the review and allocation of positions within the faculty. Under this procedure all vacant positions, other than those vacated by negative personnel decisions, comprise a single "position pool", out of which will be met all requests for allocation of positions. That is, departments/programs should not assume a continuing claim to a position vacated by other than a candidate's failure to pass Review I or Review II. The details of this procedure are as follows:

#### **a. Vacant Lines**

Vacant lines logically occur in the following situations:

- 1) **Tenable and ongoing** positions may be vacated by negative personnel decisions.
- 2) **Tenable and ongoing** positions may be vacated by disability (including death), voluntary resignation, or retirement.
- 3) **Ongoing "turnover"** positions may be vacated when an incumbent reaches the end of his or her terminal contract.

#### **b. Position Pool**

A position vacated through a negative personnel action (e.g., failure to pass Review I or II) is automatically retained by a department/program.

All other vacant positions post to a central pool out of which all requests for positions (both renewals and new) are subsequently met. This pool may be contracted or expanded, as it becomes necessary to reduce or increase the size of the faculty, by subtracting or addition positions. Positions may be scheduled into this pool prognostically, as when a retirement is scheduled, an individual's contract in a turnover position is known to be terminating, or the Provost and Dean of Faculty is able to secure in budget the funds required for a new position. The Committee on the Faculty and the Provost and Dean of Faculty will seek to identify each year those positions currently vacant or expected to become vacated and those expected to be vacated in the immediately subsequent year.

This policy applies to tenurable and ongoing lines. The Provost and Dean of Faculty will continue to meet requests for leave replacements and supplemental faculty on a year-to-year basis, as required to meet curricular demands and as budgeted resources permit.

#### **c. Strategic Hiring Initiative**

Revised March 2017

In exceptional cases, candidates may be offered appointment to the faculty without a national search. Appointments may be full-time or part-time, in tenurable or non-tenurable status. In order to qualify as “exceptional,” the candidate must meet at least one of the criteria listed in group A and one or more of the criteria in group B.

Group A Criteria:

- Candidate belongs to a historically-underrepresented group, and would increase faculty diversity.
- Candidate is the same-sex or opposite-sex partner/spouse of a current faculty member or a recruited faculty candidate for whom the employment of the partner/spouse would be a significant factor in the recruitment or retention decision.

Group B Criteria:

- The candidate would be a suitable replacement for an anticipated retirement in a department/program.
- The hiring of the candidate into a tenure-track line would reduce or eliminate the need for temporary leave replacement searches and hiring.
- The candidate could provide additional courses to interdisciplinary programs that are currently understaffed.
- The candidate could direct off-campus programs or make it possible for others in the department/program to direct such programs.

**Process**

- (1) The process begins when the candidate comes to the attention of the department/program or the Provost.
- (2) The Provost and the department/program meet and both must agree that the candidate is of comparable quality to successful candidates in comparable national searches. The meeting will discuss the curricular impact of the hire.
- (3) In preparation for this meeting, the department should present a modified position request to justify the potential diversity hire. The position request should include the department’s expectation for teaching and scholarship along with the candidate’s CV. The request should focus on the impact of the hire on the ability of the department/program to meet its stated goals and objectives as presented in its mission statement. The position request should also address how the strategic hire will allow the department to meet its general curriculum contributions e.g. First Year seminars, and provide some flexibility in planning for sabbatical leaves. Once the position request is approved by the department, it is then submitted to the Provost and Dean of the Faculty. The Department and Provost will then meet to discuss the strategic hire.
- (4) The Provost forwards the written request and candidate’s c.v. to CoFac and CoAA for advice and counsel.
- (5) The Provost consults with the President and the Vice President for Finance to ensure sufficient funds are available. After receiving the recommendation for CoFAC and CoAA, the Provost and Dean of Faculty will make a decision on the strategic hire.
- (6) The Provost notifies the department/program and negotiates an offer with the candidate.

The strategic hire line should be treated subsequently as any other tenure track line, returning to the pool upon the retirement, death, or resignation of the occupant. If there is a case of a negative review decision, the line does not return to the pool, but stays with the department or program. (4/25/2011)

**d. Procedures for Requesting an Additional Faculty Position**

Departments/programs are expected to petition for allocation of all tenurable, ongoing, and temporary lines out of this central position pool, other than lines vacated by negative personnel action. All petitions will a priori have equal standing in this consideration, including: petitions to renew lines vacated through disability, retirement, and resignations; petitions to establish temporary lines into which to hire supplemental faculty; and petitions to establish new positions within a department or program.

Review of such petitions will be conducted annually by the Committee on Academic Affairs and the Committee on the Faculty, acting in an advisory capacity to the Provost and Dean of Faculty. The deadline for receipt of applications and a schedule for subsequent reviews and notifications will be fixed and announced early in the academic year. The Committee on Academic Affairs will advise on the academic and programmatic need and merit of the proposal, and the Committee on the Faculty will advise on the distribution of faculty effort, the structure of staffing patterns relative to enrollment, general budgetary concerns, matters of equity and affirmative action, and

conformance in matters of procedure and substance with faculty bylaws and written procedures.

- (1) Ordinarily, the following sequence will apply:

Year 1 Department/program

- a. Anticipates that a vacancy will occur through retirement or resignation (i.e., a line will be vacant in the subsequent year, Year 2, or in Year 3), or
- b. Learns of an unanticipated resignation or disability (it finds that a line is vacant in the current year, Year 1), or
- c. Requests a new line, incremental to the petitioning department/program.

The request is reviewed by CoAA and CoFAC and the Provost and Dean of Faculty along with all other department/program requests for the year. If the request is approved, a search is authorized for Year 2. The Provost and Dean of Faculty may on occasion approve a search contingent upon final approval, or appoint an individual temporarily in a line until such time that a full position review can be conducted.

Year 2 Search is conducted.

Year 3 Appointment begins.

- (2) Lines vacated by negative personnel decisions need not be reviewed and reauthorized.
- (3) In general, all searches will be authorized by the Provost and Dean of Faculty for lines already fully budgeted and scheduled to be available in the first year of appointment.

## **2. DEPARTMENT/PROGRAM HIRING**

All department/program hiring will be conducted in full accord with the Faculty Recruiting and Hiring Handbook. This can be found on the Provost's website under Recruiting: <http://www.hws.edu/offices/provost/resources.aspx>

## **3. STUDENT EMPLOYEES**

Departments/programs are urged, whenever possible, to employ work/study eligible students. Both the Colleges and the student benefit -- the Colleges because the federal work/study funds match only actual hours worked by eligible students, the student because their financial aid includes an expected complement of work/study employment. Work/study-eligible students may present a letter of eligibility from the Colleges Financial Aid Office, or department/program chairs may call the Financial Aid Office to ascertain a student's eligibility.

Students are normally paid at the current minimum wage rate. Exceptions to the student wage rate require the approval of the Provost and Dean of Faculty, and are approved in exceptional circumstances.

## **4. EXPENDITURE GUIDELINES**

The Committee of the Faculty has recommended to the Provost and Dean of Faculty the following policies and guidelines with respect to the expenditure of department/program funds. These are intended to encourage equitable utilization of funds across departments/programs and equitable access within departments/programs to

department/program support for all faculty, and to aid chairs in establishing accountability within their departments/programs for faculty's use of department/program resources. It is assumed that all expenditures are always within the total limit set by budget.

- a. bookstore charges Departments/programs should meet to establish written expenditure limits and guidelines for individual charges for supplies and instructional materials, including charges at The College Store. Ordinarily, such charges should be very modest, with departmental chairs approving purchases beyond that cumulative limit only if assured that budgeted funds are available. Departments/programs sharing a building and/or secretary may wish to pool the purchase of basic supplies (e.g., by contributing a certain per capita amount). Faculty are reminded of the bookstore's and publishers' desk and examination copy policies. Chairs may wish to ask faculty to keep available annotated receipts for bookstore charges against department/program accounts.
- b. entertainment and hospitality Entertainment and hospitality expenses must be authorized by the department chair or program director in advance.
- c. mileage Ordinarily, mileage for the use of a personal car will be reimbursed only as authorized by department chair or program director, by prior approval only, for departmentally-sponsored speakers, guests, and student fieldtrips.
- d. photocopying When faculty find it necessary to utilize departmental copiers for personal business, it is expected that they will reimburse the department/program for that copying. Otherwise, department/program funds may be used for course-related and professional materials only, and students are expected to bear the expense of copying their own course materials (e.g., assignments and other written work) themselves. Departments/programs whose photocopying expense has or threatens to exceed budgeted allocations may need to establish written guidelines for their faculty.
- e. Federal Express and express mail Express mail service is less expensive than Federal Express and should be the preferred choice, when it is necessary to use an express service. However, express service of any type should be considered the exception rather than the rule.
- f. search and review expenses Expenditures incurred in support of searches and personnel reviews are borne by the Provost's Office under policies set specifically for such expenses. Chairs and directors should consult with the Provost's Office at the beginning of the academic year about anticipated searches and reviews, and so that they can anticipate the approximate budget requirement for such activities which the Provost's office must meet. Please refer to the Hiring Handbook or check with the assistant Provost for further information on expenditure guidelines for search expenses.

Reimbursement for all expenditures including those described above must be accompanied by receipts and submitted to the Kelly Switzer, Assistant to the Provost before the end of each fiscal year, that is, by May 31<sup>st</sup>. For example, for academic year 2015-16, the receipts must be submitted on or before May 31, 2016, no exceptions.

## **5. PROCEDURES FOR REVIEWING AND DEACTIVATING PROGRAMS**

- a. If a department or program has not offered a course that is listed in the catalog for five years or more, they are requested to delete that course from the catalog.
- b. When the Colleges conduct a regular review of an academic program, and if a steering committee for program is not in existence, the Provost Office will inform CoAA. CoAA will then have 12 months in which to construct a steering committee (minimum of three members) for that program from available faculty. If they are unable to construct a steering committee at the end of that time, CoAA will make a

recommendation to the Provost Office to either hire faculty into that program to staff the steering committee or deactivate that program entirely (in the case of major-granting programs, this will require legal procedures).

- c. The steering committee of an existing minor-granting program can recommend to CoAA that the program/minor be deactivated, providing a justification for its deactivation. CoAA will then pass this request on to the Provost Office along with its own recommendation. [CoAA, April 2014]

## **X. ADMINISTRATIVE REVIEWS**

The administrators to be reviewed under these procedures are the President, the Provost and Dean of Faculty, the Associate Provost, and the Deans of the two Colleges.

A Special Committee will be created to perform the review of a particular administrator. Its existence ends upon completion of the review. The Committee will consist of four faculty drawn from the full-time teaching ranks. The Committee on Committees will present a slate of candidates for the Special Committee in the Spring term prior to the year of the review.

The slate will include at least 9 candidates; of these, the 6 with the highest number of votes are presented to the administrator under review, who then removes 2. After this process is complete, the committee is publicly announced. The Committee on Committees will circulate its nominations prior to the faculty meeting. Additional nominations will be taken from the floor of the faculty. A faculty member may vote for whatever number of candidates he or she wishes..

The purpose of these evaluations is to improve, wherever possible, the quality, effectiveness, and responsiveness of the administration.

To this end, the Special Committee will develop an evaluation method appropriate to the administrator's function. The method will be submitted for comment and possible modification to the President, the instructional faculty, and the administrator under review. In all cases, the evaluation should be consistent with the job description and with the Colleges' mission statement to the degree that it is germane to the position. As part of this evaluation, the Committee will also receive any letters that the instructional faculty wish to submit. Emeritus faculty holding instructional faculty status during the service period of the administrator under review will be included in the list of faculty eligible to participate in the review process. All evaluations will be confidential, and the method will be administered in such a manner as to protect the confidentiality of the evaluation.

The Special Committee will review all the materials submitted to it and summarize its findings in a report. The report will be submitted to the Committee on Tenure and Promotion. The Committee on Tenure and Promotion will review the report to ascertain whether its findings are supported by the evidence. If the Committee on Tenure and Promotion finds that the report meets this criterion, the Special Committee will convey the report to the President and to the administrator under review for their response and comment. In the case of a review of the President, the report will be forwarded to the Chair of the Board of Trustees and the President.

If the Committee on Tenure and Promotion finds that the report does not accurately reflect the evidence gathered, it will so inform the Special Committee. If the Special Committee agrees with the Committee on Tenure and Promotion, it will proceed to rewrite the report, taking into account the suggestions made by the Committee on Tenure and Promotion. If, however, the Special Committee does not agree with the Committee on Tenure and Promotion, then the Committee on Tenure and Promotion will detail its objections in a separate report and both reports will be submitted to the President, or to the Chair of the Board of Trustees in the case of the President. The faculty will be made aware of the discrepancy.

In consultation with the President, the Committee on the Faculty will work out a schedule of administrative reviews so that the reviews are conducted in a timely, orderly, and fair fashion. The schedule of the reviews will be communicated to the instructional faculty.

#### **XI. REVISION OF THE HANDBOOK**

After the approval of the minutes of a faculty meeting recording a necessary change in this Handbook, the Secretary of the Faculty is to send a marked copy of the Minutes to someone designated on the Provost's staff for revision of the Handbook. Copies of the revised page(s) in the Handbook will then be returned to the Provost, the Secretary of the Faculty, and the Chair of CoFac for proofreading. Bylaw and Handbook changes are updated by the Provost's Office as they occur.