

PART III: INSTITUTIONAL POLICIES AND PROCEDURES

A. Academic Policies and Procedures

The following is a compilation of institutional policies and procedures of interest and immediacy to faculty. It is not intended to be comprehensive. Faculty seeking further information are referred to the Colleges Catalogue and student handbooks, as well as to the Office of the Provost.

1. Course Policies and Registration

a. Course Attendance Policies

Faculty Responsibilities Faculty members are responsible for detailing in writing their attendance policies and the effect that absences may or will have on a student's final standing and grade in the course at the beginning of the semester. Faculty are asked to respect the time allotted other academic and extracurricular exercises by not rescheduling academic exercises for which attendance is required. Rescheduling classes at times other than those published by the registrar causes conflict with other regularly scheduled classes and activities. Should it be necessary to meet at a non-regularly established time, the instructor of the class should provide an alternate opportunity for making up the rescheduled meeting if a student requests it. Faculty members who require additional activities, such as individual conferences, attending symposia, films, etc., should include a schedule of such additional activities in the syllabus.

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.

Student Responsibilities Students are expected to attend all their regularly scheduled classes, laboratory periods, and other academic exercises. Should an absence from regularly scheduled academic exercises be unavoidable (beyond a student's control), it is the student's responsibility to communicate with the professor, preferably beforehand, concerning the absence. The dean's offices will convey to the faculty information about personal emergencies, including medical illness, faced by students when students are unable to convey the information themselves. However, it is not institutional policy to provide medical "excuses" when a student is absent from class. Students are advised that absence from class, for whatever reason, does not excuse them from meeting course requirements and objectives.

Unregistered Students The Colleges do not allow students to attend classes if they are not properly registered. If an instructor has someone attending a class whose name does not appear on the class list, the instructor should inform the student that he or she may not continue to attend until properly registered and must contact the Registrar's Office immediately to correct the situation. Students may not sit in classes unregistered if she or he has not been approved to register, or expecting to register once they determine that they are passing the course. However, students may audit classes upon approval of the instructor and the Registrar. An audited course is not recorded on a student's transcript.

Religious Observation No student shall be suspended or refused admission because he or she is unable to

participate 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.

b. 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.** 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 scheduled exam period, or a part of it, is to be used for a last class meeting.

c. Dropping and Adding Courses

Students may drop and add a course during the first five days of class with the approval and signatures of their advisor, instructor for the course being dropped, and the instructor for the course being added. Students seeking to drop or add beyond this period will require the approval of their advisor, dean, instructor, and the Committee on Standards, as described by the Colleges' authorized Withdrawal Policy.

A student may be dropped out of class by the instructor of the course for non-attendance of the first class day, unless the student has made prior arrangements with the Dean or in extraordinary circumstances beyond the control of the student.

d. Authorized Withdrawals from Courses

There are two kinds of authorized withdrawals, as described in the following. Procedure 1 is available once, at the discretion of the student. Procedure 2 is available to students only under exceptional circumstances beyond their control. Changes of grade once the grade for a course has been submitted are described in point 2 below.

- (1) voluntary withdrawals Before the end of the 11th week of a semester, a student may petition his or her dean for withdrawal from one course, at any one time in his or her years at the Colleges. That is, a student is entitled to one voluntary withdrawal during his or her academic career at the Colleges. For such a withdrawal, a Voluntary Withdrawal Form must be filed, including all appropriate signatures, by the student at the Dean's office by noon on Friday of the 11th week of the semester. Approved voluntary withdrawals will be communicated immediately to the student's advisor and instructor.
- (2) approved withdrawals With the exception of the one unchallenged voluntary withdrawal

described above, withdrawal from any course prior to the due date for the semester grades will be granted only for serious and compelling reasons beyond a student's control. A student seeking to withdraw under such circumstances must petition the Committee on Standards. The committee will make its recommendation to the dean in consultation with the student's dean and others it deems appropriate. Medical or other appropriate documentation will normally be required. Approved withdrawals will be communicated immediately to the student's advisor and instructor.

Withdrawals under this policy carry no penalty, but do not diminish the minimum requirement for the degree. A reduction in course load carries no reduction in tuition.

e. Unauthorized Withdrawals from Courses

A student who withdraws from a course without official permission receives the grade of "F" on his or her permanent transcript. This includes students who register for courses which they fail to attend.

f. Course Repeat Policy

Students may repeat courses in which they have earned a grade below a C-. Courses with a grade of C- or better may not be repeated. The deans will not approve any exceptions. In computing the student's grade point average, the second grade will be substituted for the first grade, even if the second grade is lower. Both grades are recorded on the student's permanent transcript. Courses repeated at other institutions and transferred to the Colleges are not included in a student's grade point average. Repeated courses count only once toward the 32 courses required for graduation.

g. Course Proposals

A course proposal form is completed by the instructor of the course proposed in consultation with the department chair, and reviewed by all other members of 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.

2. Grades and Grading Policies

a. Course Grades

Students may choose between a "graded" and "non-graded" option in each course taken. This choice is indicated at registration for the course and may not be changed after the fifth class day of the semester.

"graded" option

The following designates the numerical values of various grades. These numerical values will be used in calculating the student's grade point average: A+ = 4.3; A = 4.0; A- = 3.7; B+ = 3.3; B = 3.0; B- = 2.7; C+ = 2.3; C = 2.0; C- = 1.7; D+ = 1.3; D = 1.0; D- = .7; F = 0. The grade of D+, D, or D- are passing, but unsatisfactory, grades.

"non-graded" option

A grade of "credit" (CR) on a student's transcript indicates at least competent work (C- or better), but no inference can or should be made beyond this; the purpose of the "Credit" option is to allow students to take

academic risks without grade worries. The grade "non-credit" (NC) is equivalent to "F" (0.0) and will be used by the Committee on Standards in applying guidelines for academic deficiency.

"incompletes"

The incomplete, or "I," is a temporary notation indicating that a student has been granted permission by the instructor to complete work for a course after the end of the semester without penalty. A request for an incomplete must be supported with a credible account of the student's problem and appropriate documentation (a note from a physician, for example). A professor can grant an incomplete for any part of the semester's work except the final examination; only a dean can excuse a student from a final. All outstanding work must be completed by the sixth week of the following semester (second week of the fall semester for spring semester incompletes), or the "I" will become a grade of "F." Any student who takes more than two incompletes over three consecutive terms will be reviewed by the Committee on Standards.

b. Reporting of Grades

Faculty members are asked to report their grades as soon as possible, but no later than 48 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 5:00 p.m. on the Tuesday before Commencement.

Grades are submitted on forms sent out by the Registrar. The only grade submitted is the final grade.

Do not send grade reports through the campus or outside mail, or by FAX. They must be personally delivered to the Registrar. Official grades are issued by the Registrar.

c. Grade Changes

No student is permitted to submit any academic work, examination, or revision of previously submitted work with the intent of affecting a grade change after a final grade has been entered by the instructor with the Office of the Registrar. Subsequent to the submission of a final grade, a grade may be changed in only two ways, both of which require appropriate documentation:

- (1) to an alternative grade, by an instructor, when a computational error has been made; or
- (2) to a withdrawal, in very extraordinary circumstances, by the Committee on Standards, acting in consultation with the student's instructor, advisor, and dean. Approved withdrawals will be communicated immediately to the student's advisor and instructor.

d. 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 above. 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.

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.
- (2) 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 advisor, 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 declines such reconsideration, the Committee may, at its discretion, forward a formal report of the case to the dean of faculty. 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.

3. Commencement Policy

Students are recommended for a degree upon completion of requirements pertaining to their class. Students who have no more than two courses outstanding toward degree requirements may petition his or her dean in order to participate in Commencement exercises. If a student completes requirements prior to October 1, the student is considered a member of that year's graduating class.

4. Withdrawal, Suspension, and Separation from the Colleges

a. Leaves of Absence from the Colleges

Leaves of absence are granted for personal growth or to participate in academic programs not sponsored by Hobart and William Smith Colleges. In either case, approval of the student's dean is required. The colleges are not obliged to accept toward the degree course work for which prior tentative approval has not been procured.

Leaves of absence are not to exceed two consecutive semesters. If a leave extends past those two semesters, then the student is placed in a withdrawal status and will be required to apply for readmission.

b. Medical Leaves from the Colleges

Medical leaves are granted by the Colleges' deans to students who, in the professional opinion of the appropriate Colleges' health-care professional, are unable to continue their academic work for health reasons for a minimum of one full semester.

Medical leaves are recorded simply as leaves of absence for record-keeping purposes, but they have certain conditions attached to them in order to protect the student's and the Colleges' interests. The conditions vary from case to case, but three conditions always are present and occur in the following sequence:

- (1) The student must petition for re-entry at least two months before the semester in which he or she wishes to return.

- (2) The student must present or make available materials from the health-care professional treating him or her, demonstrating that the problems leading to the medical leave have been resolved to the extent that they will no longer interfere with the student's ability to return to school and to carry a normal academic load. These materials will be treated as confidential information to be shared with the relevant health-care professional at the Colleges.
- (3) The dean will be advised by the appropriate official from the Colleges' Health Center regarding the student's return and, after consultation and consideration of any data presented to the respective dean by the student or other relevant sources, the dean will determine whether a return to the Colleges is advisable.

c. Voluntary Withdrawal from the Colleges

A student may withdraw from the Colleges voluntarily at any time if he or she is in good standing. This is the avenue taken when a student transfers or otherwise intends to sever all ties with the Colleges. He or she must notify their dean and must receive permission to withdraw from any course not completed. Failure to notify the dean or to petition to withdraw from courses may result in an "F" for courses in progress. Any student who withdraws or is required to withdraw from the Colleges, except for permanent separation, must apply to the dean for readmission.

d. Required Withdrawal from the Colleges

A required withdrawal is the likely result of a review when a student earns less than a 2.0 semester average while on academic probation or continued academic probation. A student may also be required to withdraw when he or she fails to gain good standing (2.0 GPA) after being on continued academic probation. A student who has earned less than 1.0 for the semester, may also be required to withdraw regardless of the student's cumulative average.

e. Suspension from the Colleges

Students may be suspended from the Colleges for a stated period of time as a disciplinary action. This separation may include prohibiting the student from attending classes, social events or other functions, or visiting Colleges grounds or facilities without the written permission of the dean of the appropriate college for readmission. The reinstatement cannot occur until after the full time of the suspension elapses.

f. Permanent Separation from the Colleges

A permanent separation is the result of a second suspension or required withdrawal.

5. 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 of 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.

B. 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.

C. Administrative Reviews

The administrators to be reviewed under these procedures are the President, the Dean of the Faculty and Provost, 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 tenured 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 selected; the administrator under review may then remove 2, and the review committee will thus consist of 4 members. 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. To be elected to the committee, an individual must receive a majority of the votes cast.

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. [Revised May 2004] All evaluations will be confidential, and the method will be administered in such a manner as to protect the confidentiality of the evaluation. (Revised March 2003)

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.

D. Departmental Procedures

1. Chairs

Chairing a department or a program is a responsibility which all members of the faculty should expect to assume at some time unless significant extenuating circumstances can be demonstrated. The position will be held for a period of three years to establish continuity and familiarity with the responsibilities of the position. An orderly rotation of the position in the department should be established by the members of the department in consultation with the Dean of Faculty and Provost, with only tenured faculty participating in the rotation of appointments. The length of tenure is three consecutive years.

2. Procedures for Review of Requests for the Renewal and Authorization of Faculty Appointment lines

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 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) or voluntary resignation (including 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.

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 Dean of Faculty is able to secure in budget the funds required for a new position. The Committee on the Faculty and the 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 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. Procedure

Departments 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 fill ongoing "turnover" lines vacated through the natural termination of an incumbent's period of appointment; petitions to establish 1-3 temporary lines into which to hire supplemental faculty; and petitions to establish incrementally 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 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 . . . 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.

The request is reviewed by Committees and the Dean of Faculty along with all other departmental requests for the year. If the request is approved, a search is authorized for Year 2. The 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, searches will be authorized only for lines already fully budgeted and scheduled to be available in the first year of appointment.

d. Requests to convert ongoing lines to tenurable status

Under these guidelines, ongoing lines vacated by natural "turnover" at the end of an incumbent's term of appointment revert to the position pool. Proposals to convert to tenurable status should ordinarily be made at this point. However, this procedure does not supersede any existing contractual commitments to review lines occupied by current members of the faculty as specified in their letters of appointment (i.e., such commitments will be honored).

(Adopted by Committees on the Faculty and Academic Affairs 10/92)

3. Departmental Hiring

All departmental hiring will be conducted in full accord with the Faculty Recruiting and Hiring Handbook.

When hiring for a position has been authorized in writing by the Dean of Faculty and Provost, the Dean of Faculty and Provost will authorize the department chair to begin the hiring process.

The department chair will convene the department for the purpose of selecting an appropriate hiring committee consisting of members of the department and a member of another department. Student majors or other students are also to be represented on the committee. The chair may be a member of that committee and may or may not be the committee's chair. All activities of the committee will be undertaken in full consultation with the department chair. Faculty and student members of the hiring committee are to be selected with the knowledge and approval of the Dean of Faculty and Provost. The search committee will be provided a consultant by the faculty Committee on Diversity, Equity and Social Justice.

The hiring committee will prepare an appropriate text for an advertisement for the position, which, when approved by the department chair, will be forwarded for approval to the Dean of Faculty and Provost. The text must include area of expertise, minimum qualifications required, a closing date or date on which review of applications will begin, and the Colleges commitment to diversity designation which is typically the last line in the ad.

Departments are encouraged to include phrases encouraging minority and women candidates to apply.

The chair of the search committee will meet with the Dean of Faculty and the Committee on Diversity, Equity, and Social Justice, or their designate, to review the search plan, including availability data, the objectives of the Colleges' diversity plan, the language of the job description and advertisement, the placement of ads, and strategies for identification and recruitment into the applicant pool of qualified women and minority individuals. After approval from the Dean of Faculty and Provost the advertisement may be run and the active solicitation and review of candidates begin.

All applicants will be asked to submit anonymously a self-identification form to the Office of the Provost, acting for the Committee on Diversity, Equity, and Social Justice. This will allow the Committee and the Dean of Faculty to assess the character of the applicant pool.

When the deadline for applications or date for initiation of review has arrived, the hiring committee will count and review the candidates known to the committee. The committee will report the number of applicants, the number of minority applicants, and the number of women applicants to the Dean of Faculty and Provost, along with its prioritized list of candidates whom they wish to invite to campus for interview. In some cases, this list may be based on candidates already seen at national or regional conventions. At the point at which the search committee submits its prioritized list of candidates to the Dean for authorization to conduct on-campus visits, the Dean may ask the committee to forward additionally the dossiers of all or a number of qualified minority and/or female candidates. Upon review, the Dean may request that additional candidates be brought to campus.

When the Dean of Faculty and Provost is satisfied with the number and demographic character of the candidate pool, campus visits of a given number will be authorized. No on-campus interviews are to be scheduled before such undertaking. If the Dean, in consultation with the Committee on Diversity, Equity and Social Justice, determines that the pool is not commensurate with the availability data, the Dean may require that the application process be reopened and steps taken to increase the number of qualified female and minority applicants. The search may not continue until the Dean and Committee are satisfied that every reasonable effort has been made to identify qualified minority individuals and women and to recruit them into the pool of active candidates. The Dean of Faculty and Provost may consider the number and strength of the candidates, the expense of bringing the most desirable candidates, and the current status of the recruiting budget. The provisions of this paragraph are the very heart of a diversity program. It is important that committees keep detailed rosters of candidates, with careful attention to race and gender.

interviews Under normal circumstances, candidates for faculty positions will meet with the hiring committee members, faculty of the department and appropriate members of other departments, and with the Dean of Faculty and Provost or the dean's designate. Candidates will normally make at least one presentation in lecture or seminar format. Details of visits may be varied by the hiring committee in accord with program or useful scheduling of events.

selection of candidate When the interview process is completed to the satisfaction of the hiring committee, that committee through the department chair will make a written recommendation to the Dean of Faculty and Provost that a candidate be hired. Candidates should not be informed that they have been so recommended until approval for hiring has come from the Dean of Faculty and Provost. Formal offers of employment and salary come from the Dean of Faculty and Provost.

reporting at the conclusion of the search At the conclusion of its search, the Department will submit to the Dean and to the Committee on Diversity, Equity and Social Justice, a report containing a numeric analysis of the final applicant pool and candidates at each successive stage, a narrative description and assessment of its efforts to identify and recruit minorities, and copies of job descriptions and advertisements. This report must then be

submitted in support of subsequent position requests and authorizations to search.

expenses incurred The Dean of Faculty and Provost is responsible for all search expense, including the cost of advertisements; interviewing at professional meetings; candidate travel, food, and lodging; and campus hospitality. Prior authorization is required for expenditures in the first three categories. With respect to expenses through the course of the candidate's visit (lunches, dinners, small receptions), it is expected that departments will show prudence and moderation. This will ordinarily mean utilizing the Faculty Dining Room for lunches and restricting dinner parties to a number that can reasonably interact with the candidate, at a cost not to exceed \$40 per individual. Expenses over \$40 will be charged back to the department. Faculty who are authorized to travel to professional meetings to screen and interviews potential candidates are expected to meet the general guidelines for faculty travel to professional meetings, unless authorized otherwise by the provost.

4. Hiring of Foreign Nationals

All prospective employees of the Colleges must prove that they are a United States citizen or a non-resident alien who has a legal right to work in the job for which they seek employment. Each person who accepts an offer by Hobart and William Smith Colleges must complete an I-9 form and present supporting documentation to the Office of Human Resources prior to the first day of employment. This is the employee's responsibility and employment is by law contingent upon the employee meeting this condition. Should the employee fail to comply, their employment with the Colleges will be terminated immediately. There are criminal and civil penalties for employers who illegally hire aliens. However, an employer is prohibited from discriminating in the hiring review process against qualified applicants on the basis of national origin.

The Colleges will assist prospective employees with those immigration proceedings required to secure an Employment Authorization Card, within reasonably assumable limits, provided that the Colleges are fully informed of the prospective appointee's immigration status and that no extraordinary impediments to employment exist. The Colleges will not otherwise assume financial obligation in assisting employees with immigration-related matters.

5. Course Evaluations

All members of the faculty are expected to conduct course evaluations in all courses taught each semester, utilizing the form (or one of several) and procedure in general use within their department, as available from their departmental secretary. Course evaluations are ordinarily distributed to students and collected from them by an individual other than the instructor on the last day of class. Students are not asked to identify themselves by name. Subsequently, a department's secretary or chair is responsible for maintaining securely a file of each faculty member's departmental 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. Faculty members are expected to review their evaluations regularly, and departmental chairs are encouraged to assume responsibility for counseling junior members of their department in the use and assessment of course evaluation. Course evaluations will be kept on file for five years for Full Professors. Evaluations for Associate Professors and Assistant Professors will be kept until the faculty member is promoted to the rank of Full, then disposed of after five years. Evaluations for faculty members who have retired or have left the Colleges will be kept on file for two years after the termination.

(Revised 4/24/03)

6. Expenditure Guidelines

The Committee of the Faculty has recommended to the Dean of Faculty the following policies and guidelines with respect to the expenditure of departmental funds. These are intended to encourage equitable utilization of funds across departments and equitable access within departments to departmental support for all faculty, and to aid chairs in establishing accountability within their departments for faculty's use of departmental resources. It is assumed that all expenditures are always within the total limit set by budget, regardless of whether or not they are "legit."

- a. bookstore charges Departments 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 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 policies. Chairs may wish to ask faculty to keep available annotated receipts for bookstore charges against departmental accounts.
- b. entertainment and hospitality Ordinarily, it is expected that entertainment and hospitality is either authorized by the department chair or program director, by prior approval, or is subject to similar written departmental policies.
- 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 for that copying. Otherwise, departmental 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 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 Provosts' 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 Section C.3 (Departmental Hiring) for further information on expenditure guidelines for search expense.

7. Student employees

Departments 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 chairs may call the Financial Aid Office to ascertain a student's eligibility.

The minimum wage rate for students employed in the academic year (2009-10) is \$7.25. Exceptions to the student wage rate require the approval of the Dean of Faculty, and are approved in exceptional circumstances.

8. Conflict of Interest Policy

Hobart and William Smith Colleges will not contract the services of, purchase goods or services from, or reimburse in favor of a company or individual to the benefit of an individual faculty member, except by competitive bid and on a formal contractual basis.

E. Revision of 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 secretarial 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. An up-to-date copy of the Handbook will be available each year reflecting any change in the Bylaws from the previous year.

1. AIDS Policy

Education is the major intervention currently available to prevent AIDS. There are no particular risks in a normal academic or employment setting. The Colleges will continue to organize effective educational programs about AIDS for students, faculty, staff members, and other employees.

The Campus Public Health Committee has been designated to provide analysis and recommendations for each case that may occur. A list of specific guidelines for dealing with students with AIDS or AIDS-related diseases and those with a blood test positive for HIV is available and is based on the latest medical data. To summarize in brief:

- a. Those with AIDS or a positive blood test will not be denied access to classes, dormitories, eating places, gymnasium, swimming pools, or other common areas.
- b. Educational programs will emphasize that those with positive tests can transmit the disease through anal, oral, or vaginal intercourse, and by sharing needles.
- c. Toothbrushes, razors, etc. that may be blood-contaminated should not be shared.
- d. Consistent use of condoms with spermicide containing nonoxonyl-9 may cut down spread of the disease. Therefore, condom vending machines will be placed in residence halls at the Colleges.
- e. Resident Advisors and Health Peer Advisors will receive special training regarding prevention of AIDS and HIV infection.
- f. The Colleges will not consider AIDS as an exclusion criterion in admission decisions or require screening of student groups.
- g. Special concerns exist regarding residency, particularly the threat to those with the AIDS virus from exposure to others with contagious diseases (chicken pox, etc.). Private rooms or other accommodations may be provided as required for the protection of the AIDS patient.

- h. The Colleges will make medical monitoring and counseling available for AIDS-virus carriers, patients, and other concerned students.
- i. Information concerning students with AIDS-virus infection is treated with the same degree of confidentiality as other conditions. Public health reporting requirements must be observed.
- j. There will be an ongoing task force to guide and evaluate the implementation of this policy.

2. The Use of Human Subjects in Research

The use of human subjects in research by either faculty or students is regulated by U.S. Department of Health and Human Services 45 CFR 46. This applies to all research conducted within the institution, whether or not it is sponsored by a government or other agency. The Colleges do not, however, maintain a formal assurance with the federal government and therefore do not maintain a single committee charged with oversight of such research within the institution. In the absence of such a committee, faculty are to forward copies of research proposals and research instruments (e.g., questionnaires and interview protocols) to departmental chairs for their information and departmental files.

It is assumed that faculty will exercise common good sense in their own research and the supervision of student research -- insuring, for example, that participants in research are informed that they are participating in research (exception: the observation of naturally occurring, licit behavior), that their participation is voluntary, that their identity will be protected, and that they are not exposed to any risk of adverse outcomes. Questions or problems should be referred to the Dean of Faculty and Provost. Faculty intending to submit proposals involving the use of human subjects to federal and other agencies for funding should consult with the Dean of Faculty and Provost at the earliest possible moment, and no less than six weeks in advance of the submission deadline.

2. Animal Use and Care

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.

3. Radiation Safety

No person shall use radioactive materials or operate a radiation machine (e.g., x-ray machine) without obtaining permission from the Radiation Safety Officer, except that students working for an instructor whose plans have been approved may use materials or machines under the supervision of that instructor. The state public health and environmental protection codes specify a number of procedures which must be followed and it is the responsibility of the Radiation Safety Officer to see that the Colleges are in compliance. No person shall purchase or acquire radioactive materials or dispose of same before obtaining approval of the Radiation Safety Officer, who is responsible for accounting for all such materials.

A handbook on radiation safety can be obtained from the current Radiation Safety Officer, or from the Dean of Faculty and Provost's Office. The Radiation Safety Committee, chaired by the Dean of Faculty and Provost or her designate, oversees the operations of the Radiation Safety Officer.

4. Drug-Free Workplace Policy

Policy Statement

Hobart and William Smith Colleges are committed to maintaining a drug-free workplace. The health hazards of drug use and the negative effects on job performance are well known. In accordance with the Drug-Free Workplace Act of 1988, the Colleges prohibit the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance on all College-owned or controlled property, or while conducting business of the Colleges off campus.

Procedures

a. Sanctions for Violation or Non-Compliance

Corrective action in accord with the applicable provisions of the Faculty Handbook, College personnel policies, collective bargaining agreement, the William Smith Student Handbook, or the Hobart Student Handbook may be imposed within thirty calendar days of notice on any faculty, administrator, staff member, or student employee who is found to be in violation of any provision of this policy. In addition, or as an alternative, an employee or student employee found to be in violation of this policy may be required to participate satisfactorily in a drug abuse assistance or rehabilitation program.

b. Compliance as a Condition of Employment

Compliance with the provisions of this policy shall be a condition of employment at the Colleges.

c. Employee Obligation for Notification of Conviction

In compliance with federal law, any faculty member, administrator, staff member, or student employee convicted of violating any criminal drug statute for activity which occurred on College-owned or controlled property is required to notify the Colleges within five calendar days after the conviction. A faculty, administrative, or staff member shall notify the Office of Human Resources. A student employee shall notify her or his dean.

d. Employer Obligation for Notification

The Colleges are obligated to notify the appropriate federal contracting or granting agency, if applicable, within ten calendar days after receiving notice of an employee conviction under paragraph 3 above. An academic officer, supervisor, or dean who receives notification of a conviction under paragraph 3 above shall immediately inform the Director of Human Resources in writing so that in those cases where a convicted employee is engaged in the performance of a federal grant or contract, the appropriate federal agency can be notified.

e. Maintenance of a Drug-Free Workplace

The Colleges' good faith efforts to maintain a drug-free workplace will include provision of ongoing drug

awareness educational programs, dissemination of this policy to all faculty, administration, staff, and student employees, and strict enforcement of this policy. The Office of Human Resources will work with the Colleges' Employee Assistance Program to offer drug education and awareness programs for employees. The student Counseling Center will continue to offer such programs. Other campus organizations may also provide such programs for the College community. Faculty, administrative, staff, and student employees are expected to avail themselves of these programs.

5. Drug Policy

The Colleges prohibit the use, possession, sale, manufacture, or distribution of illegal drugs or the medically unsupervised use of any drug that may involve medical or psychological hazards to individuals or that may lead to interference with the rights and privileges of others. Any employee engaging in such activity will be subject to disciplinary procedures that can include suspension or separation from the Colleges. In addition, members of the academic community should be aware that being at Hobart and William Smith Colleges confers no immunity from federal, state, and local laws. The sanctions for violation of these laws are severe and can affect the lives of those involved many years after the incident. In appropriate cases, the Office of Human Resources may make an effort to counsel the persons involved before making an appropriate referral, or refer directly to State authorities. However, serious drug offenses that involve an immediate and substantial danger to the community will be reported to the authorities immediately.

6. Smoking Policy

All indoor areas of the Colleges are non-smoking areas where no person shall smoke or carry a lighted cigar, cigarette, pipe, or any other form of smoking object.

7. Transportation Policy

Vehicles are available on a charge-back rental basis for the following college functions, with priority in the order listed.

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.

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 at: http://www.hws.edu/offices/conferences/pdf/driver_auth09.pdf

8. Dog Policy

- a. Students are not permitted to have animals in any College-owned residence.
- b. Every animal on Colleges property must be leashed at all times or under strict voice control. We strongly urge you to keep your dog on a leash out of courtesy and concern for the safety of people and other dogs. Pets may not be tied to trees or signposts.
- c. Faculty and staff members are permitted to have animals in their individual faculty and staff offices,

but animals are not allowed in classrooms or laboratories.

- d. Animals are not permitted in any common space including the Scandling Center, classrooms, laboratories, The College Store, and athletic facilities. The only exception to this policy is for quick visits to pick up mail at the Post Office.
- e. All animals must be registered, tagged, and vaccinated in accordance with New York State law, and Geneva City ordinance.
- f. Only persons with disabilities using a dog for assistance are exempt from this policy.

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Enforcement

- a. Any unleashed dog or dog not under strict voice control near the owner will be picked up by Security Personnel. Security will hold the dog and attempt to contact the owner. After a reasonable time, if the owner cannot be contacted, the dog will be transported by the dog warden to the Geneva kennels. The College will purchase a reasonable size cage for temporary use while attempting to contact the dog's owner before calling the dog warden. The owner will be fined \$50 (\$100 if the dog is found in our dining halls), plus all expenses at the kennel, billed from the Business Office.
- b. Dogs picked up by Security will have their description and name of owner, if known sent to the Dean of Students' Office or appropriate Administrative Office.
- c. Dogs will be held at the kennels for a short time only. After that time, the dog will be handed over to the Humane Society.
- d. If the dog is found residing or running free in the residence halls, the owner will be assessed an additional \$50 fine and may face judicial action by the Committee on Standards.
- e. These regulations apply to students, staff, and faculty of Hobart and William Smith Colleges. In addition, residents bordering the campus will be notified of the new regulations, and that their dogs will be subject to our rules if found on campus.

9. Office Services Policy

- a. 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 leave or leave to work with the Department Chair or Program Director 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 or Program cannot identify appropriate office space, the Provost and Dean of Faculty will be consulted.
- b. 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.)

- c. Responsible and Acceptable Use of Electronic Resources Policy outlines the legal, secure, and ethical use of electronic resources by all members of the HWS community. The full policy can be found at: <http://www.hws.edu/itservices/policies.aspx>
- d. 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.
- e. 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 by the Facilities Coordinator.

10. Graduate Attendee Policy

General Information:

Graduates of Hobart and William Smith Colleges who are five or more years beyond graduation are eligible to take one or two courses per semester tuition-free. This program is the Colleges' commitment to assist graduates in life-long learning.

All courses are usually open to GA's by permission of the instructor, except for the following: First Year Seminars, Bidisciplinary Courses, the Teacher Certification Program, applied music courses, self-instructional language programs, and off-campus programs. Courses are available on a space available basis only, after regular undergraduates have preregistered for the next term, inclusive of seats in introductory courses held for entering first year students Fall term.

Interested alumnae and alumni should direct their inquiries to the Associate Provost no later than six weeks prior to the intended first term registration.

Grading, Withdrawal, and Academic Policies:

Graduate Attendees are fully registered students, subject to all policies governing students' academic conduct generally, including the Colleges' grading and withdrawal policies. GA's are responsible for all course work, including written work and examinations, attendance, and required out-of-class field trips, projects, etc. Courses must be taken for credit, and an official transcript of all work attempted is maintained by the Registrar. Work so certified is generally treated by other institutions as fully transferable credit, subject to their own policies and procedures. The Graduate Attendee Program does not allow for earning a second degree from the Colleges, regardless of the number of credits earned.

11. "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.

Policy

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.

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.

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.