Preface

All tenured members of the faculty should expect to serve as chair of their department or program at some time. But what do chairs need to know? This handbook is a compilation of vital information, general guidelines, and specific procedures for your duties as chair. Much of it is drawn from the Faculty Handbook, synthesized for your convenience; in other sections, we have relied on information from the registrar’s office (our special thanks to Lorraine Heatherly).

The Department or Program Chair leads the department/program and manages its resources. These are two separate but related tasks. Management will take up a great deal of your time and attention and is crucial to the day-to-day operation of your department/program. You represent the department or program and are the “go-to” person for students, other faculty, and administration. But as chair, you also assume a leadership position among your own faculty, which involves working with them to set clear departmental or program goals while fostering a collegial environment. Your role is key in motivating department or program members to set priorities, to work together constructively and respectfully, to be effective and inspiring teachers and productive scholars.

Certainly one of the best ways to lead your department or program is to set a good example in your own teaching, professional development, and service to the Colleges. But your job as chair also calls for some special knowledge of how to get things done at the Colleges, and providing (at least some of) that knowledge is the aim of this publication.
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Responsibilities of the Chair

Chairs: the official policy

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. (Hobart and William Smith Colleges Faculty Handbook, revised July 2007)

Department/Program Chair Transition

When one chairperson completes her or his three years of service, the transition must involve the transfer of important records, including:

- Recent position requests
- Staffing plans
- Appointment/contract renewal letters
- Faculty Review I, II, III review reports
- Dept/Program Review Reports
- Standards and Criteria (SAC) document
- Other personnel correspondence concerning course release, medical leave, tenure clock, et cetera.

Readings on the Role of Chair

Myths That Make Chairs Feel They Are Powerless

Six fallacies that stifle change — and how to overcome them
By Ann F. Lucas

After decades of giving unquestioning respect, the public has become demanding, critical, and angry with higher education. Employers are dissatisfied with graduates who lack skills in oral and written communication, critical-thinking ability, and being effective team members. Moreover, after almost two decades of downsizing, and the perception that no one’s job is safe even though the organization is doing well, the public is angry at the sense of entitlement of academics who retain tenure, whether or not they are productive. This is the source of much of the external pressure for post-tenure review.
Higher education must respond to external criticism that demands change in the system, and to internal awareness of challenges arising from virtual universities and corporate classrooms. Whether that change is improving student learning, relating methodology to course objectives, curriculum renewal, or broader interventions such as outcomes assessment, service-learning, or integrating technology, chairs often feel helpless in the face of necessary innovation.

Developing faculty who will be responsive to these kinds of changes seems a formidable task to chairs. Despite the colossal need for leadership at the departmental level, and the position that the American Association for Higher Education and the Pew Rountables have taken that the department is the place where change should begin, chairs often state that there is nothing they can do to initiate change in the department. Not only do they not know how to be change agents, they do not believe that they have the power to bring about change. Fewer than one-third of 4,500 chairs in self-report data I have collected reported any degree of success in motivating difficult colleagues or poor teachers who are tenured. Chairs also report problems in getting faculty to accept a "fair share" of the work of the department, and in dealing with conflict in the department. There is a feeling of powerlessness in the face of such difficulties, primarily because faculty are tenured and thus presumably resistive to change. On campus after campus, chairs have repeated to me a series of myths they believe as justification for being unable to modify the status quo.

A myth, particularly one in which there is a strong belief, is a fixed perception of a situation that in turn dictates what an individual can control and what cannot be changed. The "rules of the game" develop from such an attribution or label; for example, whether chairs will try to deal with difficult colleagues, or ignore the situation because they believe there is nothing they can do that will make a difference. Thus, chairs build high walls around themselves and around circumstances that not only control their behavior but justify how they choose to behave. Whenever individuals describe a situation as having no solution, or see it only as a dichotomy having just two opposed alternatives, it is probable that they are engaging in premature closure. In other words, they have stopped trying to generate options to the problem, and often put themselves in no-win situations.

From my observations, here are the six most frequent fixed beliefs, or myths, that are dysfunctional for the chairs who hold them, accompanied each time by my rebuttal.

1. "I am elected by my colleagues to serve at their pleasure for only three or four years, then I will be a faculty member again. Therefore, there is nothing I can do to deal with the problems."

The belief in an inability to do anything as chair because a person is simply a peer among equals conveys an aura of humility and democracy in action; yet it can effectively leave a department without a leader. Particularly when a chair is elected by peers for a limited term, choosing to be a team leader is a valuable choice of leadership style. As team leader, a chair can take an active role in seeking meaningful input and full
participation from everyone in the department so that faculty members can plan and organize themselves to function most effectively. Being a team leader requires setting shared goals with the department and individual goals with individual faculty members so that everyone can focus on how they can achieve departmental goals while realizing their own. Goal setting with individuals and providing feedback on performance in a supportive climate are the strongest forces a chair can use for motivating faculty. When chairs are passive because they feel there is nothing they can do, departments, and often faculty, stagnate.

2. "It is my turn in the barrel. I don’t particularly want to be chair, but we all have to take a turn."

    Given academic norms that administration of any sort is a necessary evil, such statements by an incoming department chair do not usually raise concern among faculty; on the contrary, faculty often worry that people who want to be chair may be seeking power. However, when someone doesn’t want to be chair, neither the department nor its faculty will benefit by having a person in that role simply because it is his or her "turn." What is most likely is that such an individual will behave in a passive-resistive fashion and accomplish nothing for the department. Whenever he or she is chided for not taking some responsibility, the response can always be, "But I didn’t ask to be chair."

3. “I am simply a peer among equals. I am not a manager."

    This is a good example of generating only two options. "I am either a peer or a manager. There is nothing in between." As chair, an individual is no longer just a peer among equals. Chairs have responsibilities that are different from those of faculty members. Although all chairs have to perform some management functions, they don’t have to become managers; they can become leaders.

4. “I have neither carrot nor stick. It is not possible either to reward or punish faculty members."

    It is simplistic to think that rewards include only economic benefits, and that punishment means only the firing of a faculty member. There are many more meaningful ways to reward people; and punishment has so many negative side effects, it is rarely an alternative of choice in motivating others. When chairs are respected colleagues, they have the ability to reinforce faculty for the latter’s work. Being taken seriously by a colleague who appreciates the quality of what an individual is doing is both rewarding and motivating. Moreover, chairs usually have major input into personnel decision making, scheduling of courses, release time, and allocation of resources. Therefore, despite the fact that it is not realistic, the perception that chairs have "neither carrot nor stick" certainly contributes to their feelings of powerlessness.

5. “I am neither fish nor fowl. Being neither faculty member nor administrator, my role is not clear."
Granted that role conflict is stressful, a chair must be the conduit between faculty and administration, representing the needs of each to the other. This requires that a chair be an articulate spokesperson for department members to administration. It is also necessary for a chair to be a public relations person for faculty members so that their accomplishments, their impact on the discipline at the state or national level, and their outreach to the community can be appreciated by the rest of the university.

In addition, however, because they represent administration to faculty, chairs must at times advance points of view that represent what is deemed to be good for the college or university over what is perceived as good for individual faculty members. For example, faculty often strongly resist a chair’s request that they teach an 8 a.m. class, a late evening course, or a course that meets three times a week. In each of these cases, faculty may feel that the chair has lost the ability to identify with colleagues and is behaving like an administrator. Chairs must handle such conflict in their roles with tact, fairness, and good humor.

6. "I have no power. Therefore, I can do nothing."

Many chairs feel they have no power, though this perception is not usually accurate. In the context of the work of the chair, power is the ability to influence faculty to achieve their own goals as they accomplish the work of the department. Chairs have enough power to motivate faculty to increase student learning by teaching effectively, to increase scholarly productivity, and to increase service or outreach activities. All they need is to know how to go about it.

The kinds of power that chairs have to motivate faculty include position power, personal power, and expert power. Position power, often referred to as legitimate power, is related to the authority individuals have simply because of their positions. The extent to which chairs control rewards and punishments varies markedly from one institution to another, but when their input on administrative matters is weighted heavily by a college or university, their position power is increased. Thus, chairs have strong position power when their judgment is given serious consideration in personnel decision making.

Position power is by and large a given. Personal power, however, varies considerably and can be increased in legitimate ways. If chairs treat everyone with respect, if they are perceived as working for and fighting for the well-being of their faculty members when the cause is just, if chairs create a supportive climate in the department, and if they give people recognition and visibility for their achievements, their personal power becomes greater.

A third kind of power is expert power, which is based on knowledge and control of resources. Chairs usually know better than faculty how to get things accomplished in a college or university, particularly how to do things that are not described in faculty handbooks and other formal documents.
Overcoming Mythology

Chairs do have considerable power, then, but when they believe these six myths their effectiveness is undoubtedly reduced. However, institutions also have great responsibility for enhancing competent leadership by taking the chair role more seriously. Although the 80,000 chairs in colleges and universities constitute a knowledgeable body of leadership and influence, too often they are overlooked as the valuable resource they can be. There is little evidence that sufficient care is given to selection, training, professional development, and support of chairs.

Furthermore, if chairs are to be good team leaders and effective agents of change, they need to learn how to initiate those difficult conversations in which the collective wisdom of their colleagues is gathered so that commitment is developed to confront challenges that face their departments. Chairs need to learn the skills for leading change. Chairs must learn how to confront and manage negative behaviors of faculty and staff. They need to learn more about motivating department members. Chairs must master skills in creating a supportive communication climate, managing constructive feedback, resolving conflict, and be engaged in their own ongoing leadership development. In addition, some of the mind-deadening paperwork — the primary complaint of chairs — must be handled by computer or delegated to a technical assistant or a competent secretary so that chairs have time to be leaders.


Department Chairs

By Artin Arslanian
(Bennett and Figuli, eds., Enhancing Departmental Leadership, pp. 5-7; in Skidmore College Chairperson/Program Director Handbook, http://cms.skidmore.edu/dof/upload/Handbook-9-8-08.pdf)

It was by a haphazard process of selection that I became chair of a medium-sized department (10 FTE’s). I came to the position unexpectedly and quite unprepared. This was true for many of the new chairs on campus. Most of us had not read about departmental leadership, and our requests to the administration of the college for an orientation seminar went unanswered. Although some of us solicited advice from experienced chairs on campus, it is safe to say that we embarked on our tasks with little experience but full of good intentions. We were resolved to nurture departmental collegiality, encourage excellence in teaching and scholarship, and improve the departmental image on and off campus. We soon learned that these lofty goals were not easily accomplished. We tried our best — with mixed results.

I jotted down a few pointers for the new chair when I recently moved to another college. These are distilled from my experience and the thoughts of other chairs. I share
these knowing full well that differences in institutional size, mission, and philosophy may invalidate some of them.

- Always work within the philosophic and pedagogic tradition, and budgetary guidelines of your college… There should be a good fit between your plans and the institutional goals and realities. Ideas and methods considered brilliant in one institution might be damned in another with a different mission, tradition, structure, and clientele.

- Learn to say no early. Resources of all kinds are limited and are invariably outpaced by demand. Do not concentrate most of the resources on a few: all members should receive their fair share. However, make public the criteria informing the distribution of departmental funds and use them consistently; otherwise you’ll be (rightly) accused of favoritism or shiftiness.

- Fight the urge to do something as soon as a colleague complains against another or in case of a crisis. First, hear out all parties involved and try to ascertain the facts. Do not become an intermediary or messenger between the feuding parties – this will further complicate the problem. Call the grieving individuals to your office, discuss their concerns and ask them to work out a solution, reminding them that we are condemned to live together as a family in these days of almost nonexistent career mobility.

- When chairing departmental meetings, state the issues and let all present have their say first. Do not begin by arguing your case or solutions as it will create the semblance of an adversarial relationship with those who disagree with you – they may not even bother to express their opinions. Try to maintain an atmosphere conducive to discussion by all members of the department at the price of not having sufficient opportunity to elaborate your position fully. If here is a minority view, give its proponents a second or third opportunity to make their case, but avoid taking formal votes that tend to create winners and losers. Summarize the majority view in such a way as to make some concessions to the concerns of the minority and announce it as the reflection of the department’s thinking.

- Do not discuss the shortcomings and weaknesses of the department’s members with others if you want to enhance your credibility and the image of the department. Always talk about their contribution, accomplishments, and strength, especially in the case of those who are rumored to have criticized you in public.

- Avoid creating an inquisitional atmosphere when evaluating for tenure, promotion, salary raises, or merit pay. Required, frequent, and systematic evaluations are the key to a potentially difficult and sometimes explosive situation. Frequent discussions with individual faculty members about teaching, publications, professional growth, and involvement in the life of the college community create a relaxed environment for open discussion. But make sure to give equal time to the faculty members for the evaluation of your performance as
chair and discussion of departmental goals, problems, and priorities. If done frequently and systematically, this procedure will greatly ease the tense atmosphere that permeates yearly evaluations.

- Read the papers and publications of the members of your department, discuss their works with them, and honor their accomplishments in the department and in the wider college community.

- Make sure that candidates visiting the campus are treated professionally. Provide them with pertinent information about departmental needs, educational philosophy, salary, and benefits, but refrain (and restrain others) from gossiping about the members of the department, the faculty at large, or the administration. Indiscretions of this sort have a way of haunting the department, and sometimes the college, whether that candidate is offered a job or not.

- If a colleague takes a problem to the dean’s office before resorting to all the departmental procedures, do not invest additional time on the matter. Just inform the dean that the faculty member has failed to exhaust the departmental grievance procedures. A wise dean will refer the case back to the department, lest a precedent be set that will soon flood his office with requests from faculty.

- Do not check your mail after hours or on weekends. If there are problems, there is very little that you can do about them when everyone is away from the campus. Most probably the only thing you will accomplish is to ruin your evening or weekend!

I am sure that others can easily supplement this list from their experience. Let me close with a confession: I failed to follow some of these guidelines – and often paid the price!

***

ACE Website
The American Council on Education (ACE) website has many helpful articles and resources for chairs as well: [http://www.acenet.edu/resources/chairs/](http://www.acenet.edu/resources/chairs/).

Scheduling Courses

The Registrar will send you scheduling instructions and reminders at several key moments during the year. Here is an overview of what to expect:

September:
In September you will receive a draft of the Spring Semester Schedule and will be asked to submit changes by September 19th.

New course proposals for Spring semester are due to the Registrar by September 26th. Be sure to remind your faculty. (Forms may be found on the Registrar’s website.)
**October and November:**
Discuss scheduling needs and request preferred schedules from faculty for the following academic year. Ask faculty if they want to have a waitlist for any of their courses, and, if so, how many students to allow on the waitlist. You will also need to determine how many seats should be reserved for first-year students in various courses. Finally, be sure to ask your faculty for special requirements in classroom assignments.

Communication with your faculty is vital: you may want to devote part or all of a department/program meeting to scheduling matters.

You will be asked to proof the Schedule of Courses for Spring Semester by October 21-23. (The registrar will send instructions with the proofs.)

The Registration Handbook and Schedule of Courses for Spring Semester will be available at the end of October.

Spring Semester Advising Week takes place the first week of November. In fact, as soon as the Registration Handbook appears, faculty may want to start scheduling appointments with their advisees. Please remind faculty to make themselves more available during this advising period.

**Late November:**
Start building the course prospectus. You will receive course scheduling worksheets and the department/program printouts of the schedule of courses from the Registrar for the Fall and Spring semesters of the next academic year. The printouts are actually course rollovers from the current year, like semester to like semester.

Examine your department/program’s preliminary schedule of course offerings for the next academic year. As you fill out the schedule, use the Course Scheduling Worksheets as guides. These worksheets will help you distribute the courses throughout the week; please use all class periods (1-12).

**Checklist for scheduling:**
- Add/delete course sections
- Update course numbers and titles
- Update meeting days & times, instructor’s name
- Update course notes and edit text that you want to have published in the body of the handbook
- Update prerequisites
- Review maximum enrollments, and change where needed.

**Important reminders:**
- Courses should be evenly distributed throughout the academic day and week. Use all class periods, including periods 1 and 12, before offering two courses in the same class period.
• Be sure to include First-Year Seminars and Bidisciplinary Courses to be offered during the next academic year.
• Remember to use periods 5, 6, 6A, 8 and 9 for the First-year Seminars in the Fall semester.
• Do not schedule any 100-level courses into periods 5, 6, 6A, 8 and 9 in the Fall semester.
• Remember that period 7A is 3:00-4:25 pm **WF only** (not any 2 days MWF).
• *Wait List* : course instructors should indicate in the waitlist column if they would like to use the waitlist functionality and if so, the number of seats to be used on the waitlist.
• Please submit your changes and updates on the preliminary course scheduling sheets to Lorraine Heatherly, the Assistant Registrar, before the holiday break.

If you have any questions, or need assistance, please call Lorraine (3652) or stop by her office in Gulick.

**First week of courses, Spring semester:**
Round two of scheduling—You will receive the Prospectus from the Registrar for the next academic year, reflecting any changes that were made in round one. Please meet with faculty to review the schedules, add updates, and make corrections. The Registrar may have denied some class period preferences because of an uneven distribution of offerings throughout the week. In that case, additional class periods scheduled for a TBA will appear on your prospectus and your packet will have a note explaining the situation. Academic Affairs has urged that all twelve class periods be used and that FSEM be scheduled in periods 5, 6, 6A, 8 and 9. Again, please do not schedule 100-level courses in the periods reserved for the FSEM.

**January 27:** New course & new FSEM proposals due to the Registrar.

**End of January:**
Return prospectus changes to Lorraine Heatherly.

**Early February:**
Chairs and Program Directors will receive the revised department/program schedules. Again, please go over any changes in the schedule with affected faculty and make any needed changes or corrections.

**Mid-February:**
Return revised prospectus (department/program schedule of courses) to Lorraine. The Registrar will then proof the schedule, and send it to press by the end of February.

**Early March: estimated publication date for the Prospectus**

**First weeks of March:**
You will receive the fall schedule from the Registrar. Please alert the Registrar of any changes within three days of receiving the schedule.
Third week of March: the fall schedule will be sent to press.

End of March: estimated publication date for the Fall Registration Handbook

Last week of March: Advising Week
Fall Semester Advising Week takes place the last week of March. As in the fall, as soon as the Registration Handbook appears, faculty may want to start scheduling appointments with their advisees. Please remind faculty to make themselves more available during this advising period.

First week of April: Registration for Fall
Procedures for Review of Requests for the Renewal and Authorization of Faculty Appointment lines

How does the chair begin the process of hiring a new faculty member? First of all, there is a procedure in place 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." All requests for allocation of positions will be met from this pool. Departments and 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. **Tenurable and ongoing** positions may be vacated by negative personnel decisions.
2. **Tenurable 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/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 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 and 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 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.

The Committee on Academic Affairs and the Committee on the Faculty reviews these petitions each year, 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/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 the Committees and the Dean of Faculty along with all other department or program 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)

Faculty Hiring

All faculty 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/program chair to begin the hiring process.

The department/program chair will convene the department/program for the purpose of selecting an appropriate hiring committee consisting of members of the department/program and a member of another department/program. 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/program 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/program 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. Department/programs are urged 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/program and appropriate members of other department/programs, 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/program 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/program 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 expenses, 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 department/programs will show prudence and moderation. This will ordinarily mean using 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. Faculty who are authorized to travel to professional meetings to screen and interview potential candidates are expected to meet the general guidelines for faculty travel to professional meetings, unless authorized otherwise by the provost.

**Strategic Hiring Initiative**

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.
(3) The department/program then submits a written request to the Provost describing the candidate’s proposed status (full-time or part-time, tenurable or non-tenurable) and their expectation for teaching and scholarship along with the candidate’s c.v.
(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.
(6) The Provost notifies the department/program and negotiates an offer with the candidate.

Hiring of Foreign Nationals

A foreign national is a person who is not a citizen of the United States or does not have permanent residency status under U.S. law. Federal immigration law regulates the hiring of foreign nationals by U.S. employers, requiring employers to hire only U.S. citizens, permanent resident aliens, and non-resident aliens lawfully authorized to work in the United States.

Since employers must not discriminate on the basis of national origin, the process of hiring foreign nationals has become very complex. U.S. Immigration law prohibits employers from making payments to non-resident alien workers without work authorization. These regulations are in effect even if the worker is only on campus for a brief lecture or appearance. The Colleges would be held liable and may be subject to a fine for hiring any foreign national who does not have the proper visa status and employment verification.

The Colleges will act as the immigration sponsor for foreign nationals who will have academic appointments. The Office of Human Resources will assist prospective employees with those immigration proceedings required to secure employment authorization through the most common type of work authorization programs - the H-1b Temporary Worker visa, the TN (North America Free Trade Agreement) for nationals from Canada and Mexico, or the Colleges’ J-1 Exchange Visitor Program - provided that Human Resources is fully informed of the prospective appointee's immigration status in a timely manner and that no extraordinary impediments to employment exist. The Colleges will assume financial obligation in assisting employees with the above stated immigration-related matters including legal assistance for the employee only. Filing fees
and other related charges associated with acquiring status for the spouse and/or dependents will be the employee’s responsibility.

For those faculty members in tenured or tenure track positions who wish to obtain legal permanent resident (green card) status, the Colleges will sponsor the faculty member through the labor certification process with permission from the Provost and Dean of Faculty. Costs associated with the permanent resident application process (legal and filing fees) will be covered by the Colleges up to a pre-determined limit set by the Office of Human Resources and the Provost’s Office. It will be the responsibility of the faculty member to assume any additional costs above the pre-determined limit and for any costs associated with spousal legal permanent resident applications. The Colleges will not apply for labor certification for temporary, non-tenurable faculty including visiting faculty and adjunct faculty.

New Hire Support

When a new instructor or professor is hired, the following items are addressed early in the summer by the Department/Program Chair and the Faculty Secretary, Human Resources, or the Provost's Office with the Learning Commons Staff:

**Department/Program Chairperson and Faculty Secretary (early summer):**

Phones (x3410 Dan Strally)
Office (x3306; confirm with Pat Cool)
Mail (secretary)
Keys (Work Order required from Chair to Buildings and Grounds)
New course proposals (require department/program chair’s signature)
Classroom assignment
Syllabi guidelines, including final exam policy

**Human Resources**

Paycheck processing
Benefits
Parking permit application
Faculty identification card

**Provost's Office**

Appointment letter
Faculty Handbook
Moving expenses reimbursement
Faculty Orientation to teaching and technology at HWS (mid-August)
Web biography and HWS e-mail/FACADM listserv
Computer needs
Faculty Mentoring

Each new faculty member in a tenure line 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 a copy of his/her departmental/program review Standards and Criteria (SAC). Before the eighth week of the faculty member’s first semester, the Dean of Faculty and Provost 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. After the end of classes in the faculty member’s first semester on campus, the department/program chair will meet with the faculty member to discuss teaching during the first semester, examine all course evaluations and identify areas of strength and weakness. Typically this will occur within one month. These meetings will continue to take place after each semester the faculty member teaches until the faculty member undergoes Review II. Typically, another colleague whom the candidate has given permission to read his/her evaluations will also attend that meeting. (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. The Colleges Faculty Enrichment Program, led by the Associate Dean of Faculty, Director of the Center for Teaching and Learning (CTL), Chair of CoFac, and the Chair of the sub-committee on Faculty Research and Honors, was begun in Fall 2007. It is now located physically in the Learning Commons where the Presentation Room hosts wine and cheese gatherings around topics of faculty interest, including pedagogical research, publishing across disciplines, and student assessment of learning. In addition, faculty are invited to take advantage of individual consultations with Dr. Susan Pliner and the opportunity to conduct a mid-semester course evaluation (Small Group Instructional Diagnosis).

Faculty Reading Groups, Faculty Institutes, Passion Into Practice gatherings, in-class workshops by CTL Staff, and calls for teaching and learning grant proposals comprise some of the many opportunities for faculty support at CTL.

Within the Faculty Enrichment Program, 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. The program aims to increase the frequency of both scholarly and pedagogical exchanges.

Common Elements on Syllabi

COAA strongly believes that we as 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 faculty syllabi include clear information about the following:
1. Contact information
2. Required course materials
3. Office hours
4. Course/learning objectives
5. Attendance policy
6. Course calendar
7. Required readings
8. Grading policies
9. Final exam details
10. Classroom participation
11. CTL Disability statement
12. Late work policy
13. Clear outline of assignments
14. Out of class time requirements

NOTE: 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. Curricular goals
4. Information about Teaching Fellows, Teaching Colleagues, Writing Colleagues, Teaching Assistants, etc
5. Statement on academic integrity/plagiarism

Course Evaluations

As noted in the Faculty Handbook, all members of the faculty are required to conduct course evaluations in all courses taught each semester, employing the form (or one of several) and procedure in general use within their department or program and the college-wide form, available from their department or program 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. Course evaluations must not be available for instructor review until after grades are submitted.

Faculty members are expected to review their evaluations regularly, and department/program chairs are encouraged to assume responsibility for counseling junior members of their department or program in the use and assessment of course evaluation. The Bylaws now mandate that the department/program chair meet with faculty members who have just finished their first year of teaching at HWS to discuss teaching during the first year, examine all course evaluations and identify areas of strength and weakness. (I.A.1.b.) All faculty, however, may benefit from discussing course evaluations with their chair or another colleague. Although student evaluations are by no means the only
measure of teaching effectiveness, they do provide an opportunity for reflection on course content and teaching methods.

A department or program's secretary or chair is responsible for maintaining securely a file of each faculty member's departmental or program course evaluations, including 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 Off-Campus Programs. 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.
Budgets and Expenditure Guidelines

For advice on how to prepare your department or program’s budget, please see Kelly Switzer in the Provost’s Office (3304).

The Committee of the Faculty has recommended to the Dean of Faculty the following policies and guidelines with respect to the expenditure of departmental or program funds. These are intended to encourage equitable utilization of funds across department/programs and equitable access within department/programs to support for all faculty, and to aid chairs in establishing accountability within their department/programs for faculty’s use of 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 and 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 department/program chairs approving purchases beyond that cumulative limit only if assured that budgeted funds are available. Department/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 policies. Chairs may wish to ask faculty to keep available annotated receipts for bookstore charges against departmental or program 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 or program 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 speakers, guests, and student fieldtrips sponsored by the department/program.

d. **Photocopying.** When faculty find it necessary to use department/program 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. Department/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 Provosts' Office at the beginning of the academic year about upcoming 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 expenses.

Student employees

Departments and programs are urged, whenever possible, to employ work/study eligible students. Both the Colleges and the students benefit -- the Colleges because the federal work/study funds match only actual hours worked by eligible students, the students 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.

The wage rate for all students employed in the academic year is based on a 3-tier system. Exceptions to the student wage rate require the approval of the Provost and Dean of Faculty, and are approved in exceptional circumstances.

For 2010-11:
Tier 1 - $7.25 per hour  
Tier 2 - $7.40 per hour  
Tier 3 - $7.65 per hour

Contact Human Resources for a description of the pay scale and work categories.

Travel Expense Guidelines

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. The maximum annual grant for an individual faculty member is $1,200. Faculty appointed on a full-time, temporary basis are eligible for a maximum grant of $700 each year. All receipts must be submitted for reimbursement.

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 ($110/night maximum).

-- Meals and miscellaneous expenses for up to four days ($50/day maximum).

-- Registration fees.

*This is interpreted as the appropriate super-saver fare. Those for whom the supersaver requirement (i.e. a Saturday night stay) is unduly convenient or expensive should request an exception from the Provost.

Note: These policies are subject to the availability of funds and may be changed accordingly. The Dean of Faculty and Provost will notify faculty of such changes in a timely way. A Faculty Travel Report and all receipts must be submitted to the Provost's Office after each trip. These forms are available in the Provost's Office, faculty secretaries, or on-line under the Provost web page. Expenses should be separated by category (food, hotel, travel, parking, etc.) with each category totaled.

We recognize that these funds may not be adequate for international travel. 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.

Support for Other Travel

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.

**Campus Vehicle Pool**

The Colleges' vehicle pool consists of several vans and cars which can be rented for educational and departmental trips as well as athletic trips. A reservation must be in writing and received at least 48 hours prior to the scheduled trip. All drivers of College-owned vehicles must furnish evidence of a current, valid driver's license and pass a general Colleges' driving test. Reservations are accepted on a first-come, first-served basis through the Office of Conferences and Events: [http://www.hws.edu/offices/conferences/van_form.aspx](http://www.hws.edu/offices/conferences/van_form.aspx). Please plan ahead when reserving vehicles.

**Charges:**

- If the total round trip mileage is LESS than 100 miles: the rates for vehicle use are $15/half day (4 hours or less) or $30/full day (over 4 hours)
- If the total round trip mileage is MORE than 100 miles: a rate of $.30 per mile will be charged. This will be in lieu of the half day or full day charge.
- Cleaning Charge: If a vehicle is returned with dirty interior, a $15 cleaning charge will be charged to the department or organization.
- Fueling Charge: All vehicles are to be returned full of gasoline. Failure to comply will result in a $50 change to your department.
- Your department will be charged for any damage to the vehicles, up to a $1,000 deductible. Vehicles are checked between all trips and any damage found will be noted. It is your responsibility to check the vehicle before leaving campus and to inform the Conferences and Events Department of any damage not listed before you use the vehicle.

**Facilities for Special Events and Guests**

Facilities Reservations

The Facilities Coordinator (ext. 3652) in the Registrar's Office will reserve space available on campus for class, meetings, and special events such as symposia, seminars, and visiting speakers. You can also use the R25 on-line classroom reservation system to book a room or to see availability: [http://www.hws.edu/offices/registrar/](http://www.hws.edu/offices/registrar/) and click on Classroom Reservation System. A Faculty Calendar listing pertinent dates and deadlines is also available. Arrangements for accommodations in Colleges’ Guest House for official campus visitors is available through the office of Conferences and Events: [http://www.hws.edu/offices/conferences/delancey.aspx](http://www.hws.edu/offices/conferences/delancey.aspx)

a. **Houghton House**
This house is an instructional facility and office area for the Art Department, and an official College entertainment center. The first floor dining room and kitchen, northeast porch, and large drawing room may be reserved for official College purposes, as arranged by the Facilities Coordinator, ext 3652.

b. 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 Department of Biology for information on its location, use, and restrictions.

c. 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.

Conflict of Interest Policies

One of the great strengths of any small, residential college is the relationships among its members. Invested in the common goals of educating our students and creating a community of scholars, and connected through face-to-face communication, we are able to achieve a great deal despite our small size and resources. The closeness and intensity of these relationships does pose some challenges, however, and it is for that reason that the Faculty Handbook spells out particular expectations in cases of familial relationships:

A familial relationship to another member of the Colleges’ community (trustees, faculty, administration, staff, and students) is not a barrier to employment by the Colleges. Spouses, partners, and other relatives of Colleges’ community members are considered for appointment, promotion, retention, tenure, and all other rights on the same basis as those who are not related to others in the Colleges’ community. However, such community members will neither initiate nor participate in any decision involving direct benefit (initial appointment, retention, promotion, salary, leave, tenure, etc.) to members of their immediate families. (Faculty Bylaws I. A. 1. b)
Specifically, that means that spouses, partners and relatives should not participate in reviews or performance evaluations or exercise supervisory authority in these cases; they should not approve procurements, stipends, grants, or any other form of financial compensation; and they should not participate in decisions involving resources such as offices or equipment. Normally, this is achieved by simply recusing yourself from all deliberations on the matter, in addition to the decision itself. If you find yourself or a colleague in such a situation, please be in touch with the Provost to work out how best to comply with the Handbook in this case.

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.
Policies and Procedures for Faculty Review

Guidelines for Initial Contract Renewal

General considerations

Criteria used in the evaluation and decision-making process are to be made clear at the time the candidate is hired. These standards and criteria include the College-wide principles articulated in the bylaws for teaching, scholarship, and community service and the particular standards and criteria articulated in the departmental and/or program SAC document.

Decisions on contract renewal, reappointment, tenure, and promotion should be based on appropriate evidence carefully gathered in a manner consistent with maintaining the high intellectual and professional aspirations of the faculty and a sense of common purpose. Confidentiality shall be maintained at every stage of the process and concerning all matters of substance involved in the review by all members of the faculty who have the responsibility of reviewing a candidate. Confidentiality must be maintained even after a review has been completed, except when the review is being appealed under the provisions of the bylaws. In that case, individuals involved in the contract renewal or review must respond to any questions of the Grievance Panel. The maintaining of confidentiality is a professional obligation to the members of the community and breaking it endangers the integrity of the whole community.

Specific procedures for evaluation should be governed by the overriding principle of providing a system for making informed, fair decisions which will at the same time protect colleagues from excessive scrutiny, abusive or arbitrary treatment, or disruption of their teaching, while assisting their intellectual and professional growth.

1. Contract renewal

a. Standards and criteria

The contract renewal evaluation allows the department/program and the candidate to take early stock of their relationship, with an eye to the future. If the original hiring process went well, there is no reason to expect that the candidate will be found wanting. On the other hand, it is far better for the candidate, the department/program, and the Colleges that a negative decision, if indicated, be made now rather than later.

Effective teaching is the primary consideration. At this stage, the candidate should be aware of his or her strengths and weaknesses as a teacher and actively seeking ways to ameliorate any difficulties encountered in the first year. Evidence to be considered will include student course evaluations and materials submitted by the candidate. Scholarly promise, as indicated by the candidate’s curriculum vitae, is a
secondary consideration. There are no requirements for community service at this point.

b. Procedures

The department/program chair will meet with the candidate by the third week of the fall semester in the candidate’s second year to discuss the contract renewal process. Deliberations on renewal will be completed by mid-November.

All members of the department/program who have been employed in a tenure-track line or a line defined as ‘ongoing part-time’ for at least one year participate in contract renewal deliberations. No spouses or partners of candidates are eligible to serve. Departmental/program faculty on phased retirement programs who have given up tenure are eligible to serve only if invited by the candidate, the department/program, and the Dean of Faculty and Provost.

The department/program chair will assemble the materials to be considered in the contract renewal deliberations, including student course evaluations. The candidate will submit to the chair any materials he or she believes will be helpful to these deliberations. At the minimum, the candidate will submit a curriculum vitae and course syllabi, and any other materials the department/program chair, the faculty involved, or the Provost and Dean of Faculty request. The chair will draft a brief summary of the materials and convene a meeting of participating faculty to determine their recommendation for or against renewal.

Based on this meeting, the chair will write a letter to the Dean of Faculty and Provost with the departmental/program recommendation for or against renewal. Recommendations need not be elaborately documented, but they should at least outline the procedures followed, and the department/program must be prepared to explain a negative finding. Negative recommendations are sent to COTAP to be reviewed for procedural adequacy before administrative action. The Dean of Faculty and Provost makes the final decision concerning renewal, but normally follows the recommendation of the department/program. The Dean of Faculty and Provost will send to the candidate a letter of contract renewal or a letter stating that the contract is not renewed, with a copy sent to the department/program chair. A candidate will be provided reasons for non-renewal, in writing, if he or she so requests.

In case of a decision not to renew the contract, the candidate has the right to request a reconsideration of this decision. The unsuccessful candidate is also entitled to file a grievance, as outlined in the Faculty Bylaws, if he or she believes the decision was made with inadequate or improper consideration, or that it involved discrimination or a violation of academic freedom. Unsuccessful candidates who elect to grieve must understand that such proceedings may extend the case beyond December 15, the AAUP-recommended deadline for notification of non-reappointment in a faculty member’s second year, and that, unless a proceeding has resulted in a reversal of the non-renewal decision, the candidate's employment contract ends with the academic year in which the decision was made.
Guidelines for Review I

General considerations

Criteria used in the evaluation and decision-making process are to be made clear at the time the candidate is hired. These standards and criteria include the College-wide principles articulated in the bylaws for teaching, scholarship, and community service and the particular standards and criteria articulated in the departmental and/or program SAC document.

Decisions on contract renewal, reappointment, tenure, and promotion should be based on appropriate evidence carefully gathered in a manner consistent with maintaining the high intellectual and professional aspirations of the faculty and a sense of common purpose. Confidentiality shall be maintained at every stage of the process and concerning all matters of substance involved in the review by all members of the faculty who have the responsibility of reviewing a candidate. Confidentiality must be maintained even after a review has been completed, except when the review is being appealed under the provisions of the bylaws. In that case, individuals involved in the contract renewal or review must respond to any questions of the Grievance Panel. The maintaining of confidentiality is a professional obligation to the members of the community and breaking it endangers the integrity of the whole community.

Specific procedures for evaluation should be governed by the overriding principle of providing a system for making informed, fair decisions which will at the same time protect colleagues from excessive scrutiny, abusive or arbitrary treatment, or disruption of their teaching, while assisting their intellectual and professional growth.

Review I. For a Four-Year Reappointment

a. Standards and criteria of the Colleges: See Faculty Bylaws, A, article 1, section e, 2.a.

b. Roles, responsibilities, and procedures for Review I

Review I is conducted by a departmental/program review committee, hereafter referred to as the Review I Committee. Review I normally occurs in the third year of full-time teaching, and is designed both to provide feedback to the faculty member in order to help her/him succeed at the Colleges, and to give that faculty member’s colleagues an opportunity to make a judgment on his/her suitability for retention. The review will take into account a wide body of evidence, described below.

1. Roles and responsibilities in Review I

(a) Review I Committee

The main responsibility for this review lies with the Review I Committee of the
department/program into which the candidate was hired. This body assembles the candidate’s file and prepares the report which is both diagnostic and evaluative and which makes a recommendation for or against a four-year reappointment. Review I Committees can be constituted as either a committee of the whole, in which all voting members participate in all meetings, or as a sub-committee that meets on its own to discuss the case and prepare a report and recommendation, after which the sub-committee sends the report and recommendation to other department/program voting members, with whom it meets to discuss the report and take a final vote.

Those eligible to serve and to vote are all members of the department/program who have been employed in a tenure-track line or a line defined as ‘on-going part-time’ for at least one year. Spouses, partners, or relatives of candidates are not eligible to serve or to participate in any way in the review. Faculty on sabbatical or other leave may serve on the Review I Committee, but are not required to do so. Department/program members on phased retirement programs who have given up tenure are eligible to serve only if invited by the candidate, the department/program, and the Dean of Faculty and Provost.

The Review I Committee will consist of at least four persons and its composition must be approved by COTAP before the review commences. At least three persons will be members of the department/program who are eligible and able to serve (exceptions below), while one will be a tenured faculty member in a different division. This nondepartmental/non-program faculty member is selected by the Review I Committee chair after consultation with the rest of the Committee, and is subject to approval by both the candidate and the chair of COTAP.

In departments/programs with fewer than three eligible faculty members able to serve, the Review I Committee shall consist of as many eligible faculty members as are able to serve, plus other eligible faculty members selected from the faculty as a whole by the available eligible departmental/program members and the candidate, subject to approval by COTAP and the Dean of Faculty and Provost. The Review I Committee will be constituted when four eligible faculty members have been selected in this way and approved by COTAP.

Each Review I Committee will have a sub-committee of three students, elected by majors and minors from among themselves, with representation of both Hobart and William Smith. (If this dual representation poses an undue burden, the department/program must receive an exemption from COTAP.) The role of this sub-committee will be to summarize student input on the candidate’s teaching in a short report to the Review I Committee. The students will present their findings to the Committee, and these findings will be reflected in the Review I Committee report. The students’ signed report will become part of the candidate’s file.

When the Dean of Faculty and Provost in consultation with a department/program and COTAP agree that there is a well-founded basis, the Dean of Faculty and Provost may appoint a tenured member of the faculty to advise a department/program on procedure in conducting its faculty reviews. The consulting
faculty member will attend all organizational and deliberative meetings, but will not read the files and will not be involved in substantive discussions.

(b) Departmental/Program Faculty

Because colleagues within the candidate’s department/program are likely to be most knowledgeable about the candidate’s strengths and weakness, especially in teaching and scholarly work, their role in Review I is to submit letters which, like the report, are both evaluative and diagnostic. Letters should be based on the colleague’s own observations and experiences, not on the contents of the file as assembled at the time of the review. All departmental/program faculty will be invited to write a letter. The chair will ensure that at least two colleagues each visit at least one class session taught by the candidate before they write their letters. Each colleague participating in the review will have the opportunity to comment on all materials in the file during the discussion of the case and the Review I Committee report.

If the faculty member undergoing Review I works with and has responsibilities in a program, but is chiefly connected to a department, program faculty are especially encouraged to write individual letters concerning the candidate. The program as a whole will prepare a recommendation only if it or the candidate specifically requests it. In these cases the program is not obligated to undertake a full review, but will have access to the candidate’s file and will meet to discuss and draft a recommendation based on evidence.

(c) The Candidate

The candidate’s responsibility is to provide to the Review I Committee the majority of the materials necessary for an informed evaluation of his/her teaching, scholarship, and community service. A central piece will be a statement that presents, explains, and assesses the candidate’s own record to date. The statement will include three sections:

(1) teaching: a discussion of teaching philosophy and teaching performance, aims and accomplishments, strengths and weaknesses;

(2) scholarship: description of the work pursued and accomplished since the completion of the dissertation or equivalent, plans for future work, and the candidate’s own location in the discipline;

(3) community service: a report on candidate’s college-wide, departmental and/or program activities, as well as activity in the larger community.

To support this statement, the candidate will also provide a curriculum vitae, copies of all course syllabi and selected course materials (such as exams, assignments, paper topics, other miscellaneous communication with students), and copies of all scholarship completed to date, as well as unpublished work she/he wishes to be considered. The candidate may also provide miscellaneous material that speaks to the candidate’s work,
such as invitations to speak or present work in other classes or other schools. The candidate will also be asked to provide the names of Hobart & William Smith colleagues who should be contacted for comments on the candidate’s teaching, scholarship, and/or community service. Finally, the candidate will be asked to provide responses to the reports of the Review I Committee and COTAP.

(d) COTAP

COTAP’s role in Review I is to examine the candidate’s file, read the Review I Committee report, and prepare its own recommendation. COTAP will assess teaching, scholarship, and community service from the perspective of the Colleges as a whole, according to general Colleges’ standards, as well as to the standards expressed in the departmental/program SAC document. Any member of COTAP who is a member of the candidate’s department/program will recuse himself/herself from COTAP’s deliberations and discussions of the case. The COTAP member is eligible to serve on the candidate’s Review I Committee.

(e) The Dean of Faculty and Provost

The Dean of Faculty and Provost may be involved in determining the composition of departmental/program review committees. The Associate Dean of Faculty, or other member of the Provost’s staff as designated by the Dean of Faculty and Provost, is responsible for determining when each candidate’s file is complete and ready to be read by the members of COTAP.

The Dean of Faculty and Provost reads the candidate’s file, including the Review I Committee and COTAP reports, and makes a final determination on the outcome of Review I, following any meetings with the Review I Committee or COTAP she/he deems necessary.

2. Specific Procedures for Review I

(a) Assembling the Candidate’s File

The candidate will provide his/her required materials to the Review I Committee between December 15 and January 15 of the academic year in which Review I is occurring. The completed file is due in the Provost’s Office by the third Monday of February.

The Review I Committee will solicit comments from students who have taken a course with the candidate, using a letter developed by COTAP. This letter will be sent to all currently matriculated students and to alumni/ae who have taken one or more courses with the candidate. All comments from students must be signed. The report will include the number of students contacted and the percentage responding, as well as copies of the letter(s) sent out to students and a record of the date(s) they were sent.
A summary of student course evaluation forms will be completed for each course either by the student sub-committee or by faculty members of the Review I Committee. For each course section, the number of evaluations in the file, the number of students in the course, and the percent of students completing evaluations will be indicated. For each course taught, there must be a systematic summary and assessment of the student evaluations. The department-or program-specific summary may be in prose or in a numerical format. The summary of College-wide questions will be in numerical format. The methods and procedures used in preparing these summaries should be explained in the Review I Committee report.

The student report will reflect student opinion on the candidate’s teaching. Specifically, the report will comment on the student course evaluation forms and student responses to the solicitation letter.

Using the list supplied by the candidate, the Review I Committee will contact faculty and staff from the Colleges with whom the candidate has worked, requesting signed letters that comment on the candidate in relation to the standards for Review I. In addition, the Committee will receive signed letters written in response to a general solicitation sent out to all faculty and administrators by COTAP, asking for letters that comment on each of the candidates undergoing Review I in a given year. The file will include a copy of all solicitation letters that were sent out.

(b) Writing the Review I Committee Report

The Review I Committee will prepare a report that (1) describes the procedures used during the review; (2) summarizes and evaluates the materials in the file; and (3) makes a recommendation based on its evaluation of the materials in the file. Its central goal is to assess the candidate’s teaching, scholarly potential, and community service. The report will summarize the file’s evidence concerning the candidate’s strengths and weaknesses, suggest areas for improvement and offer recommendations for improvement, and represent the tenor of the committee’s discussions. It will evaluate the candidate on the basis of the SAC document given to the candidate at the time of her/his hire. Differing assessments of the evidence should be made clear in the report. In the end, the report makes a recommendation on whether the candidate should or should not pass Review I and is signed by all members of the Review I Committee who agree with the recommendation. Any dissenting opinions, together with reasons, must be spelled out in a separate written and signed statement.

The Review I Committee report, along with any statement of dissenting opinion, is given to the candidate. The candidate will submit to the chair of the Review I Committee, a letter addressed to COTAP, stating that she/he has read the report and any statement written by dissenters, along with any comments, corrections, rebuttals, or amplifications the candidate would like to make. This letter is required before the file is submitted to COTAP.
(c) The Completed File

The completed file will consist of the following materials, which will be the evidentiary basis of Review I:

1. Table of contents.
2. Copy of Colleges-wide standards and criteria for Review I and a copy of the departmental/program SAC document sections on Review I.
3. Candidate’s curriculum vitae.
4. Candidate’s letters of appointment and reappointment.
5. Written statement by candidate concerning teaching philosophy and assessment of own teaching performance; scholarly work, achievements, and aims; and record of community service.
6. Record of courses taught and enrollments, including Honors projects, independent studies, and MAT theses (supplied by Registrar’s office).
7. Copies of all course syllabi and other selected teaching materials for the time period covered by Review I (such as sample exams, assignments, quizzes, etc.) supplied by the candidate.
8. Student course evaluations for all courses, with summaries of the departmental/program and Colleges-wide questions for each course.
9. Responses of all current and former students to a solicitation letter seeking comments on the candidate.
10. Scholarship: this includes any published and unpublished writing, paintings, compositions, slides, book reviews, and other forms of professional engagement supplied by the candidate.
11. Miscellaneous materials related to professional engagement and community service, such as reviews and citations of candidate’s work, records of participation in professional organizations and professional affairs.
12. Signed letters from departmental and/or program colleagues.
13. Signed letters from non-departmental/program colleagues at the Colleges.
15. Review I Committee report. Also, a letter of any dissenting opinions.
16. Late-arriving materials.
17. Signed letter from the candidate certifying that she/he has read the Review Committee report (and, if present, letter of dissenting opinions), along with candidate’s comments, corrections, rebuttals, or amplifications.
18. Signed letters from members of COTAP, describing their relationship to the candidate.
19. COTAP report.
20. Signed letter from the candidate, addressed to the Dean of Faculty and Provost, certifying that she/he has read the COTAP report, along with candidate’s comments, corrections, rebuttals, or amplifications.

(d) Review of the file by COTAP
The entire file is submitted to the Dean of Faculty and Provost’s Office, and the Associate Dean of Faculty, or other member of the Provost’s staff as designated by the Dean of Faculty and Provost, will check to see that all required materials (except for the last three items) are included. If the Associate Dean of Faculty determines that something is missing, she/he will ask the Review I Committee to remedy the problem. The file will be sent to COTAP when it is complete.

COTAP members will read the complete file, and then discuss the case as a group. In the course of its deliberations, it may convene a meeting with the Review I Committee for the purpose of better understanding its recommendation. It may also meet separately with the signers of any dissenting statement. Following its deliberations, COTAP will write a signed report explaining its recommendation. In cases where COTAP comes to a recommendation different from that in the Review I Committee report, its report must make clear why it disagrees. The COTAP report is sent to the candidate, the chair of the Review I Committee, and the Dean of Faculty and Provost. The candidate will confirm, in a letter sent to the Dean of Faculty and Provost, with copies to COTAP and the Chair of the Review I Committee, that she/he has read COTAP’s report. The candidate may make comments, corrections, rebuttals, or amplifications in this letter. The deadline for receipt of this confirmation letter will be set by COTAP, generally allowing seven days. Once the candidate has sent this letter, COTAP will meet with the Dean of Faculty and Provost to discuss the case.

(e) Final decision regarding Review I

The Dean of Faculty and Provost will make a final determination, following any meetings with the Review I Committee or COTAP she/he deems necessary. The Dean of Faculty and Provost will convey the outcome of the Review I in a letter to the candidate, with a copy sent to the chair of the Review I Committee. Following a negative Review I decision, the candidate may request from the Dean of Faculty and Provost a written explanation of the negative decision. Following a positive Review I decision, the letter from the Dean of Faculty and Provost will outline the diagnostic recommendations that emerged from the review. These recommendations will address actions that both the candidate and the department/program should take to continue the candidate’s development as a member of the faculty, with an eye toward preparing the candidate for Review II. Within four months of a positive decision, the Dean of Faculty and Provost will meet with the candidate to discuss these recommendations.

Guidelines for Review II

General considerations

Criteria used in the evaluation and decision-making process are to be made clear at the time the candidate is hired. These standards and criteria include the College-wide principles articulated in the bylaws for teaching, scholarship, and
Decisions on contract renewal, reappointment, tenure, and promotion should be based on appropriate evidence carefully gathered in a manner consistent with maintaining the high intellectual and professional aspirations of the faculty and a sense of common purpose. Confidentiality shall be maintained at every stage of the process and concerning all matters of substance involved in the review by all members of the faculty who have the responsibility of reviewing a candidate. Confidentiality must be maintained even after a review has been completed, except when the review is being appealed under the provisions of the bylaws. In that case, individuals involved in the contract renewal or review must respond to any questions of the Grievance Panel. The maintaining of confidentiality is a professional obligation to the members of the community and breaking it endangers the integrity of the whole community.

Specific procedures for evaluation should be governed by the overriding principle of providing a system for making informed, fair decisions which will at the same time protect colleagues from excessive scrutiny, abusive or arbitrary treatment, or disruption of their teaching, while assisting their intellectual and professional growth.

3. Review II. For Promotion to Associate Professor, and the Awarding of Tenure

a. Standards and criteria of the Colleges: See Faculty Bylaws, A, article 1, section e, 3.a.

b. Roles, responsibilities, and procedures for Review II

General Considerations

Review II is conducted by a departmental/program review committee, hereafter referred to as the Review II Committee. Review II normally occurs in the sixth year of full-time teaching at this institution; or in the third year of a senior appointment; or at a time agreed upon appointment to tenurable status when credit is given for prior service. Its aim is to allow the faculty member’s colleagues an opportunity to formulate a recommendation on whether the candidate should be awarded tenure, as well as to provide information to the candidate that will allow her/him to continue developing as a scholar, teacher, and colleague. The review will take into account a wide body of evidence, described below.

1. Roles and responsibilities in Review II

   (a) Review II Committee

   The main responsibility for this review lies with the Review II Committee of the department/program into which the candidate was hired. This body assembles the candidate’s file and prepares the report which makes a recommendation for or against the
granting of tenure and promotion to Associate Professor. Review II Committees can be constituted as either a committee of the whole, in which all voting members participate in all meetings, or as a sub-committee that meets on its own to discuss the case and prepare a report and recommendation, after which the sub-committee sends the report and recommendation to other departmental/program voting members, with whom it meets to discuss the report and take a final vote.

Those eligible to serve and to vote are all members of the department/program who have been employed in a tenure-track line or a line defined as ‘on-going part-time’ for at least one year. Spouses, partners, or relatives of candidates are not eligible to serve or to participate in any way in the review. Faculty on sabbatical or other leave may serve on the Review II Committee, but are not required to do so. Departmental/program members on phased retirement programs who have given up tenure are eligible to serve only if invited by the candidate, the department/program, and the Dean of Faculty and Provost.

The Review II Committee will consist of at least four persons and its composition must be approved by COTAP before the review commences. At least three persons will be members of the department/program who are eligible and able to serve (exceptions below), while one will be a tenured faculty member in a different division. This nondepartmental/non-program faculty member is selected by the Review II Committee chair after consultation with the rest of the review committee, and is subject to approval by both the candidate and the chair of COTAP.

In departments/programs with fewer than three eligible faculty members able to serve, the Review II Committee shall consist of as many eligible faculty members as are able to serve, plus other eligible faculty members selected from the faculty as a whole by the available eligible departmental/program members and the candidate, subject to approval by COTAP and the Dean of Faculty and Provost. The Review II Committee will be constituted when four eligible faculty members have been selected in this way.

Each Review II Committee will have a sub-committee of three students, elected by majors and minors from among themselves, with representation of both Hobart and William Smith. (If this dual representation poses an undue burden, the department/program must receive an exemption from COTAP.) The role of this subcommittee will be to summarize student input on the candidate’s teaching in a short report to the Review II Committee. The students will present their findings to the Committee, and these findings will be reflected in the Review II Committee report. The students’ signed report will become part of the candidate’s file.

When the Dean of Faculty and Provost in consultation with a department/program and COTAP agree that there is a well-founded basis, the Dean of Faculty and Provost may appoint a tenured member of the faculty to advise a department/program on procedure in conducting its faculty reviews. The consulting faculty member will attend all organizational and deliberative meetings, but will not read the files and will not be involved in substantive discussions.
(b) Departmental/Program Faculty

Because colleagues within the candidate’s department/program are likely to be most knowledgeable about the candidate’s strengths and weaknesses, especially in teaching and scholarly or artistic work, their role in Review II is to submit letters which, like the report, are both evaluative and diagnostic. Letters should be based on the colleague’s own observations and experiences, not on the contents of the file as assembled at the time of the review. All departmental/program faculty will be invited to write a letter. The chair will ensure that at least two colleagues each visit at least one class session taught by the candidate before they write their letters. Each colleague participating in the review will have the opportunity to comment on all materials in the file during the discussion of the case and the Review II Committee report.

If the faculty member undergoing Review II works with and has responsibilities in a program, but is chiefly connected to a department, program faculty are especially encouraged to write individual letters concerning the candidate. The program as a whole will prepare a recommendation only if it or the candidate specifically requests it. In these cases the program is not obligated to undertake a full review, but will have access to the candidate’s file and will meet to discuss and draft a recommendation based on evidence.

(c) The Candidate

The candidate’s responsibility is to provide to the Review II Committee the majority of the materials necessary for an informed evaluation of his/her teaching, scholarship, and community service. A central piece will be a statement that presents, explains, and assesses the candidate’s own record to date. The statement will include three sections:

(1) teaching: a discussion of teaching philosophy and teaching performance, aims and accomplishments, strengths and weaknesses;
(2) scholarship: description of the work pursued and accomplished since the candidate’s last review, plans for future work, and own location in the discipline;
(3) community service: a report on candidate’s college-wide, departmental and/or program activities, as well as activity in the larger community.

To support this statement, the candidate will also provide a curriculum vitae, copies of all course syllabi and selected course materials (such as exams, assignments, paper topics, other miscellaneous communication with students), and copies of all scholarship completed to date, as well as unpublished work she/he wishes to be considered. The candidate and Review II Committee chair jointly decide which work will be sent out for outside review. The candidate may also provide miscellaneous material that speaks to the candidate’s work, such as invitations to speak or present work in other classes or other schools. The candidate will be asked to provide the names of potential outside reviewers of his/her scholarship and the names of people who should be contacted for comments on the candidate’s teaching, scholarship, and/or community service. Finally, the candidate
will be asked to provide responses to the reports of the Review II Committee and COTAP.

(d) COTAP

COTAP’s role in Review II is to examine the candidate’s file, read the Review II Committee report, and prepare its own recommendation. COTAP will assess teaching, scholarship, and community service from the perspective of the Colleges as a whole, according to general Colleges’ standards, as well as to the standards expressed in the departmental/program SAC document. Any member of COTAP who is a member of the candidate’s department/program will recuse himself/herself from COTAP’s deliberations and discussions of the case. The COTAP member is eligible to serve on the candidate’s Review II Committee.

(e) The Dean of Faculty and Provost and the President

The Dean of Faculty and Provost may be involved in determining the composition of departmental/program review committees. The Associate Dean of Faculty, or other member of the Provost’s staff as designated by the Dean of Faculty and Provost, is responsible for determining when each candidate’s file is complete and ready to be read by the members of COTAP.

Having received the reports of COTAP and the Review II Committee, the Dean of Faculty and Provost makes a recommendation to the President. The President attends the meetings at which COTAP meets with the Dean of Faculty and Provost to discuss each Review II case. Having received the recommendation of the Dean of Faculty and Provost, the President makes his/her recommendation to the Board of Trustees. The President will write a letter to the candidate, to inform him/her of the outcome of Review II.

2. Specific Procedures for Review II

(a) Assembling the Candidate’s File

The candidate will provide his/her required materials to the Review II Committee between May 1 and July 1. The completed file is due in the Provost’s Office by the third Monday of October.

1. Outside Review of Scholarship

The candidate and the Review II Committee chair jointly decide which work the candidate will send out for outside review. The candidate is obliged to submit a representative sample (at least) of her/his scholarship for review by scholars in the discipline. Typically this will include both published and unpublished work. Work published in refereed publications should be considered by the Review II Committee as evidence of quality and originality, but at least some of it should still be sent out for review to allow an outside scholar the chance to see the range of a candidate’s work. The
Review II Committee report should describe the refereeing practice in each case.

Work will be sent to three to five outside reviewers, who are deemed able to speak from an informed position explicitly to the candidate’s accomplishments in and further potential for scholarly work. The candidate will submit a list of possible reviewers, specifying her/his relationship to each individual, and the Review II Committee will independently draw up a list of possible reviewers. The Committee’s list will be shown to the candidate, and the latter will specify her/his relationship to each individual, and can insist on the removal of one or more names on grounds that the individual is likely to be prejudiced against the candidate. In no circumstances should any reviewer be a former colleague, collaborator, or close friend of the candidate. Neither should a reviewer have a significant formal or informal connection to the Colleges. The Review II Committee report will explain how and why it chose the outside reviewers it did. Typically it is best to have a mix of outside reviewers: people of different levels (although all will usually be tenured), from different types of institutions, including people who work in a candidate’s specific subfield as well as those who simply work in the candidate’s discipline. At least two of the outside reviewers should not be personally acquainted with the candidate. If it is not practical to engage at least two such reviewers, the Review II Committee report will explain why. A curriculum vitae will be obtained from each reviewer. Interdisciplinary work should be sent to appropriate reviewers. The Review II Committee will treat the outside letters as constituting significant, but not all-determining, input on the candidate’s scholarship.

Since this is one of the few times a candidate is likely to hear a group of academic colleagues assessing her/his work, the Review II Committee report should accurately reflect the letters’ assessment of strengths and weaknesses of that work. Representative quotations from the letters should be included in the Review II Committee report. At the Committee’s discretion, an appendix can be included with more extensive quotations so as to provide the candidate with more specific comments, suggestions, praises, or criticisms that the Committee deems will be beneficial for the candidate, provided the quotations do not give away the reviewer’s identity.

2. Assessing student perceptions of the candidate

The Review II Committee will solicit comments from students who have taken a course with the candidate since the candidate’s last review, using a letter developed by COTAP. This letter will be sent to all currently matriculated students and to alumni/ae who have taken one or more courses with the candidate. All comments from students must be signed. The report will include the number of students contacted and the percentage responding, as well as copies of the letter(s) sent out to students and a record of the date(s) they were sent.

A summary of student course evaluation forms will be completed for each course taught since the last review either by the student sub-committee or by faculty members of the Review II Committee. For each course section, the number of evaluations in the file, the number of students in the course, and the percent of
students completing evaluations will be indicated. For each course taught, there must be a systematic summary and assessment of the student evaluations. The department- or program-specific summary may be in prose or in a numerical format. The summary of College-wide questions will be in numerical format. The methods and procedures used in preparing these summaries should be explained in the Review II Committee report. The student report will reflect student opinion on the candidate’s teaching. Specifically, the report will comment on the student course evaluation forms and student responses to the solicitation letter.

3. Soliciting comments from colleagues

Using the list supplied by the candidate, the Review II Committee will contact faculty and staff from the Colleges and individuals from outside of the Colleges with whom the candidate has worked, requesting signed letters that comment on the candidate in relation to the standards for Review II. In addition, the Review II Committee will receive signed letters written in response to a general solicitation sent out to all faculty and administrators by COTAP, asking for letters that comment on each of the candidates undergoing Review II in a given year. The file will include a copy of all solicitation letters that were sent out.

(b) Writing the Review II Committee Report

The Review II Committee will prepare a report that (1) describes the procedures used during the review; (2) summarizes and evaluates the materials in the file; and (3) makes a recommendation based on its evaluation of the materials in the file. Its central goal is to assess the candidate’s teaching, scholarly accomplishments and potential, and community service. The report will summarize the file’s evidence concerning the candidate’s strengths and weaknesses, suggest areas for improvement and offer recommendations for improvement, and represent the tenor of the Committee’s discussions. The report will evaluate the candidate on the basis of the SAC document that was given to the candidate at the time of her/his hire. Differing assessments of the evidence should be made clear in the report. In the end, the report makes a recommendation on whether the candidate should or should not pass Review II and be awarded tenure. This report will be signed by all members of the Review II Committee who agree with the recommendation. Any dissenting opinions, together with reasons, must be spelled out in a separate written and signed statement.

The Review II Committee report, along with any statement of dissenting opinion, is given to the candidate. In the case of non-unanimous reports, the candidate does not receive a list of who voted which way. The candidate will submit to the chair of the Committee, a letter addressed to COTAP, stating that she/he has read the report and any statement written by dissenters, along with any comments, corrections, rebuttals, or amplifications the candidate would like to make. This letter is required before the file is submitted to COTAP.

(c) The Completed File
The completed file will consist of the following materials, which will be the evidentiary basis of Review II:

1. Table of contents.
3. Candidate’s letters of appointment and reappointment.
4. Candidate’s curriculum vitae.
5. Candidate’s Review I reports (Review I Committee and COTAP) and letter from the Dean of Faculty and Provost following Review I (unless the candidate did not undergo Review I at the Colleges).
6. Written statement by candidate concerning her/his scholarly work, achievements, and aims; teaching philosophy and assessment of own teaching performance; and record of community service.
7. Record of courses taught and enrollments, including Honors projects, independent studies, and MAT theses, since Review I (supplied by Registrar’s office).
8. Copies of all course syllabi and other selected teaching materials for the time period covered by Review II.
9. Student course evaluations for all courses taught since Review I, with summaries of the departmental/program and Colleges-wide questions for each course.
10. Responses of all current and former students to a solicitation letter, seeking comments on the candidate. Responses must be signed.
11. Scholarship: this includes any published and unpublished writing, paintings, compositions, slides, book reviews, and other forms of professional engagement which the candidate wishes to be considered. Candidate should include all such work produced since Review I.
12. Miscellaneous material related to professional engagement and community service, such as reviews and citations of candidate’s work, records of participation in professional organizations and professional affairs.
13. Signed letters from departmental and/or program colleagues.
14. Signed letters from non-departmental/program colleagues at the Colleges.
15. Signed letters from people outside of the Colleges with whom the candidate has worked. A copy of the letter sent out will also be included.
16. Letters from outside reviewers of scholarship. Letters must be signed or received by COTAP-approved electronic means. Also included will be a curriculum vitae from each outside reviewer, a list of the materials sent out to reviewers, and a copy of the letter sent with these materials.
17. Report of the student sub-committee.
18. Review II Committee report. Also, a letter of any dissenting opinions, together with reasons.
19. Late-arriving materials.
20. Signed letter from candidate certifying that she/he has read the Review II Committee report (and, if present, statement written by any dissenters), along with candidate’s comments, corrections, rebuttals, or amplifications.
(21) Signed letters from members of COTAP, describing their relationship to the candidate.

(22) COTAP report.

(23) Signed letter from candidate, addressed to the Dean of Faculty and Provost, certifying that she/he has read the COTAP report, along with candidate’s comments, corrections, rebuttals, or amplifications.

(d) Review of the file by COTAP

The entire file is submitted to the Dean of Faculty and Provost’s Office, and the Associate Dean of Faculty, or other member of the Provost’s staff as designated by the Dean of Faculty and Provost, will check to see that all required materials (except for the last three items) are included. If the Associate Dean of Faculty determines that something is missing, she/he will ask the Review II Committee to remedy the problem. The file will be sent to COTAP when it is complete.

COTAP members will read the complete file, and then discuss the case as a group. In the course of its deliberations, it may convene a meeting with the Review II Committee for the purpose of better understanding its recommendation. It may also meet separately with the signers of any dissenting statement. Following its deliberations, COTAP will write a signed report explaining its recommendation. In cases where COTAP comes to a recommendation different from that in the Review II Committee report, its report must make clear why it disagrees. This report is sent to the candidate, the chair of the departmental/program review committee, and the Dean of Faculty and Provost. The candidate will confirm, in a letter addressed to the Dean of Faculty and Provost, that she/he read COTAP’s report. The candidate may make comments, corrections, rebuttals, or amplifications in this letter. The deadline for receipt of this confirmation letter will be set by COTAP, generally allowing seven days. Once the candidate has sent this letter, COTAP will meet with the Dean of Faculty and Provost and the President to discuss the case.

(e) Final decision regarding Review II

Following the meeting of COTAP with the President and the Dean of Faculty and Provost, the Dean of Faculty and Provost makes his/her own recommendation to the President. Prior to making this recommendation, the Dean of Faculty and Provost may meet with the Review II Committee or COTAP if she/he thinks it necessary. The President, having received the recommendation of the Dean of Faculty and Provost, may meet with COTAP or the Review II Committee prior to making his/her recommendation to the Board of Trustees. The President will write a letter to the candidate, with copies to the Dean of Faculty and Provost and the Review II Committee chair, to inform the candidate of the outcome of Review II. Following a negative decision, the candidate may request from the Dean of Faculty and Provost a written explanation of that decision.
Guidelines for Promotion to Full Professor (Review III)

General considerations

Criteria used in the evaluation and decision-making process are to be made clear at the time the candidate is hired. These standards and criteria include the College-wide principles articulated in the bylaws for teaching, scholarship, and community service and the particular standards and criteria articulated in the departmental and/or program SAC document.

Decisions on contract renewal, reappointment, tenure, and promotion should be based on appropriate evidence carefully gathered in a manner consistent with maintaining the high intellectual and professional aspirations of the faculty and a sense of common purpose. Confidentiality shall be maintained at every stage of the process and concerning all matters of substance involved in the review by all members of the faculty who have the responsibility of reviewing a candidate. Confidentiality must be maintained even after a review has been completed, except when the review is being appealed under the provisions of the bylaws. In that case, individuals involved in the contract renewal or review must respond to any questions of the Grievance Panel. The maintaining of confidentiality is a professional obligation to the members of the community and breaking it endangers the integrity of the whole community.

Specific procedures for evaluation should be governed by the overriding principle of providing a system for making informed, fair decisions which will at the same time protect colleagues from excessive scrutiny, abusive or arbitrary treatment, or disruption of their teaching, while assisting their intellectual and professional growth.

4. Guidelines for Promotion to Full Professor

a. Standards and criteria of the Colleges: See Bylaws A, article 1, section e, 4.a

1. Roles and responsibilities in Review III

   (a) Review III Committee

   The main responsibility for this review lies with a departmental/program review committee, hereafter referred to as the Review III Committee. This body assembles the candidate’s file and prepares the report which is primarily evaluative, making a recommendation for or against promotion to Full Professor but also providing information to the candidate that will assist her/him in continuing to develop as a scholar, teacher, and colleague. Review III Committees can be constituted as either a committee of the whole, in which all voting members participate in all meetings, or as a subcommittee that meets on its own to discuss the case and prepare a report and recommendation, after which the sub-committee sends the report and recommendation to other departmental/program voting members, with whom it meets to discuss the report.
and take a final vote.

Those eligible to serve and to vote are all members of the department/program who have been employed in a tenure-track line or a line defined as ‘on-going part-time’ for at least one year. Spouses, partners, or relatives of candidates are not eligible to serve or to participate in any way in the review. Faculty on sabbatical or other leave may serve on the Review III Committee, but are not required to do so. Departmental/program members on phased retirement programs who have given up tenure are eligible to serve only if invited by the candidate, the department/program, and the Dean of Faculty and Provost.

The Review III Committee will consist of at least four persons and its composition must be approved by COTAP before the review commences. At least three persons will be members of the department/program who are eligible and able to serve (exceptions below), while one will be a tenured faculty member in a different division. This non-departmental/non-program faculty member is selected by the Review III Committee chair after consultation with the rest of the review committee, and is subject to approval by both the candidate and the chair of COTAP.

In departments/programs with fewer than three eligible faculty members able to serve, the Review III Committee shall consist of as many eligible faculty members as are able to serve, plus other eligible faculty members selected from the faculty as a whole by the available eligible departmental/program members and the candidate, subject to approval by COTAP and the Dean of Faculty and Provost. The Review III Committee will be constituted when four eligible faculty members have been selected in this way.

Each Review III Committee will have a sub-committee of three students, elected by majors and minors from among themselves, with representation of both Hobart and William Smith. (If this dual representation poses an undue burden, the department/program must receive an exemption from COTAP.) The role of this subcommittee will be to summarize student input on the candidate’s teaching in a short report to the Review III Committee. The students will present their findings to the Committee, and these findings will be reflected in the Review III Committee report. The students’ signed report will become part of the candidate’s file.

When the Dean of Faculty and Provost in consultation with a department/program and COTAP agree that there is a well-founded basis, the Dean of Faculty and Provost may appoint a tenured member of the faculty to advise a department/program on procedure in conducting its faculty reviews. The consulting faculty member will attend all organizational and deliberative meetings, but will not read the files and will not be involved in substantive discussions.

(b) Departmental/Program Faculty

Because colleagues within the candidate’s department/program are likely to be most knowledgeable about the candidate’s strengths and weakness, especially in teaching
and scholarly work, their role in Review III is to submit letters which, like the report, are primarily evaluative but also diagnostic. Letters should be based on the colleague’s own observations and experiences, not on the contents of the file as assembled at the time of the review. All departmental/program faculty will be invited to write a letter. The chair will ensure that at least two colleagues each visit at least one class session taught by the candidate before they write their letters. Each colleague participating in the review will have the opportunity to comment on all materials in the file during the discussion of the case and the Review III Committee report.

If the faculty member undergoing Review III works with and has responsibilities in a program, but is chiefly connected to a department, program faculty are especially encouraged to write individual letters concerning the candidate. The program as a whole will prepare a recommendation only if it or the candidate specifically requests it. In these cases the program is not obligated to undertake a full review, but will have access to the candidate’s file and will meet to discuss and draft a recommendation based on evidence.

(c) The Candidate

The candidate’s responsibility is to provide to the Review III Committee the majority of the materials necessary for an informed evaluation of his/her teaching, scholarship, and community service. A central piece will be a statement that presents, explains, and assesses the candidate’s own record to date. The statement will include three sections:

(1) teaching: a discussion of teaching philosophy and teaching performance, aims and accomplishments, strengths and weaknesses;
(2) scholarship: description of the work pursued and accomplished since the candidate’s last review, plans for future work, and own location in the discipline;
(3) community service: a report on candidate’s college-wide, departmental and/or program activities, as well as activity in the larger community.

To support this statement, the candidate will also provide a curriculum vitae, copies of all course syllabi and selected course materials (such as exams, assignments, paper topics, other miscellaneous communication with students), and copies of all scholarship completed since Review II, as well as unpublished work she/he wishes to be considered.

The candidate and the Review III Committee chair jointly decide which work will be sent out for outside review. The candidate may also provide miscellaneous material that speaks to the candidate’s work, such as invitations to speak or present work in other classes or other schools. The candidate will be asked to provide the names of potential outside reviewers of his/her scholarship and the names of people who should be contacted for comments on the candidate’s teaching, scholarship, and/or community service.
(d) COTAP

COTAP’s role in Review III is to examine the candidate’s file, read the Review III Committee report, and prepare its own recommendation. COTAP will assess teaching, scholarship, and community service from the perspective of the Colleges as a whole, according to general Colleges’ standards, as well as to the standards expressed in the departmental/program SAC document. Any member of COTAP who is a member of the candidate’s department/program will recuse himself/herself from COTAP’s deliberations and discussions of the case. The COTAP member is eligible to serve on the candidate’s Review III Committee.

(e) The Dean of Faculty and Provost and the President

The Dean of Faculty and Provost may be involved in determining the composition of departmental/program review committees. The Associate Dean of Faculty, or other member of the Provost’s staff as designated by the Dean of Faculty and Provost, is responsible for determining when each candidate’s file is complete and ready to be read by the members of COTAP.

Having received the reports of COTAP and the Review III Committee, the Dean of Faculty and Provost makes a recommendation to the President. The President attends the meetings at which COTAP meets with the Dean of Faculty and Provost to discuss each Review III case. Having received the recommendation of the Dean of Faculty and Provost, the President makes his/her recommendation to the Board of Trustees. The President will write a letter to the candidate, to inform him/her of the outcome of Review III.

2. Specific Procedures

(a) Assembling the Candidate’s File

The candidate will provide his/her required materials to the Review III Committee between September 1 and October 1. The completed file is due in the Provost’s Office by the fourth Monday of January.

1. Outside Review of Scholarship

The candidate and the Review III Committee chair jointly decide which work the candidate will send out for outside review. The candidate is obliged to submit a representative sample (at least) of her/his scholarship for review by scholars in the discipline. Typically this will include both published and unpublished work. Work published in refereed publications should be considered by the Review III Committee as evidence of quality and originality, but at least some of it should still be sent out for review to allow an outside scholar the chance to see the range of a candidate’s work. The Review III Committee report should describe the refereeing practice in each case.
Work will be sent to three to five outside reviewers, who are deemed able to speak from an informed position explicitly to the candidate’s accomplishments in and further potential for scholarly work. The candidate will submit a list of possible reviewers, specifying her/his relationship to each individual, and the Review III Committee will independently draw up a list of possible reviewers. The Committee’s list will be shown to the candidate, and the latter will specify her/his relationship to each individual, and can insist on the removal of one or more names on grounds that the individual is likely to be prejudiced against the candidate. In no circumstances should any reviewer be a former colleague, collaborator, or close friend of the candidate. Neither should a reviewer have a significant formal or informal connection to the Colleges. The Review III Committee report will explain how and why it chose the outside reviewers it did. Typically it is best to have a mix of outside reviewers: people of different levels (although all will usually be tenured), from different types of institutions, including people who work in a candidate’s specific subfield as well as those who simply work in the candidate’s discipline. At least two of the outside reviewers should not be personally acquainted with the candidate. If it is not practical to engage at least two such reviewers, the Review III Committee report will explain why. A curriculum vitae will be obtained from each reviewer. Interdisciplinary work should be sent to appropriate reviewers. The Review III Committee will treat the outside letters as constituting significant, but not all-determining, input on the candidate’s scholarship.

Since this is one of the few times a candidate is likely to hear a group of academic colleagues assessing her/his work, the Review III Committee report should accurately reflect the letters’ assessment of strengths and weaknesses of that work. Representative quotations from the letters should be included in the Review III Committee report. At the Committee’s discretion, an appendix can be included with more extensive quotations so as to provide the candidate with more specific comments, suggestions, praises, or criticisms that the Committee deems will be beneficial for the candidate, provided the quotations do not give away the reviewer’s identity.

2. Assessing student perceptions of the candidate

The Review III Committee will solicit comments from students who have taken a course with the candidate since the candidate’s last review, using a letter developed by COTAP. This letter will be sent to all currently matriculated students and to alumni/ae who have taken one or more courses with the candidate. All comments from students must be signed. The report will include the number of students contacted and the percentage responding, as well as copies of the materials sent out to students and a record of the date(s) they were sent.

A summary of student course evaluation forms will be completed for each course taught since the last review either by the student sub-committee or by faculty members of the Review III Committee. For each course section, the number of evaluations in the file, the number of students in the course, and the percent of students completing evaluations will be indicated. For each course taught, there must be a systematic
summary and assessment of the student evaluations. The department-or program-specific summary may be in prose or in a numerical format. The summary of College-wide questions will be in numerical format. The methods and procedures used in preparing these summaries should be explained in the Review III Committee report.

The student report will reflect student opinion on the candidate’s teaching. Specifically, the report will comment on the student course evaluation forms and student responses to the solicitation letter.

3. Soliciting comments from colleagues

Using the list supplied by the candidate, the Review III Committee will contact faculty and staff from the Colleges and individuals from outside of the Colleges with whom the candidate has worked, requesting signed letters that comment on the candidate in relation to the standards for Review III. In addition, the Committee will receive signed letters written in response to a general solicitation sent out to all faculty and administrators by COTAP, asking for letters that comment on each of the candidates undergoing Review III in a given year. The file will include a copy of all solicitation letters that were sent out.

(b) Writing the Review III Committee Report

The Review III Committee will prepare a report that (1) describes the procedures used during the review; (2) summarizes and evaluates the materials in the file; and (3) makes a recommendation based on its evaluation of the materials in the file. Its central goal is to assess the candidate’s teaching, scholarly accomplishments and potential, and community service. The report will summarize the file’s evidence concerning the candidate’s strengths and weaknesses, suggest areas for improvement and offer recommendations for improvement, and represent the tenor of the committee’s discussions. The report will evaluate the candidate on the basis of the relevant SAC document. Differing assessments of the evidence should be made clear in the report. In the end, the report makes a recommendation on whether the candidate should or should not pass Review III and be promoted to Full Professor and is signed by all members of the Review III Committee who agree with the recommendation. Any dissenting opinions, together with reasons, must be spelled out in a separate written and signed statement.

The Review III Committee report, along with any statement of dissenting opinion, is given to the candidate. In the case of non-unanimous reports, the candidate does not receive a list of who voted which way. The candidate will submit to the chair of the Committee, a letter addressed to COTAP, stating that she/he has read the report and any statement written by dissenters, along with any comments, corrections, rebuttals, or amplifications the candidate would like to make. This letter is required before the file is submitted to COTAP.

(c) The Completed File
The completed file will consist of the following materials, which will be the evidentiary basis of Review III:

(1) Table of contents.
(2) Copy of Colleges-wide standards for Review III and relevant SAC document.
(3) Candidate’s curriculum vitae.
(4) Candidate’s Review II reports (Review II Committee and COTAP) plus any previous Review III reports.
(5) Written statement by candidate concerning her/his scholarly work, achievements, and aims; teaching philosophy and assessment of own teaching performance; and record of community service.
(6) Record of courses taught and enrollments, including Honors projects, independent studies, and MAT theses, since Review II (supplied by Registrar’s office).
(7) Copies of all course syllabi and other selected teaching materials for the time period covered by Review III.
(8) Student course evaluations for all courses taught since Review II, with summaries of the departmental/program and Colleges-wide questions for each course.
(9) Responses of all current and former students to a solicitation letter, seeking comments on the candidate. Responses must be signed.
(10) Scholarship: this includes any published and unpublished writing, paintings, compositions, slides, book reviews, and other forms of professional engagement which the candidate wishes to be considered. Candidate should include all such work produced since Review II.
(11) Miscellaneous material related to professional engagement and community service, such as reviews and citations of candidate’s work, records of participation in professional organizations and professional affairs.
(12) Signed letters from departmental and/or program colleagues.
(13) Signed letters from non-departmental/program colleagues at the Colleges, commenting on the teaching, scholarship, and community service of the candidate.
(14) Signed letters from people outside of the Colleges with whom the candidate has worked. A copy of the letter sent out will also be included.
(15) Letters from outside reviewers of scholarly work. Letters must be signed or received by COTAP-approved electronic means. Also included will be a curriculum vitae from each outside reviewer, a list of the materials sent out to reviewers, and a copy of the letter sent with these materials.
(16) Report of the student sub-committee.
(17) Review III Committee report. Also, a letter of any dissenting opinions, together with reasons.
(18) Late-arriving materials.
(19) Signed letter from candidate certifying that she/he has read the Review III Committee report (and, if present, statement written by any dissenters), along with candidate’s comments, corrections, rebuttals, or amplifications.
(20) Signed letters from members of COTAP, describing their relationship to the candidate.
(21) COTAP report.
(22) Signed letter from Candidate, addressed to the Dean of Faculty and Provost, certifying that she/he has read the COTAP report, along with candidate’s comments, corrections, rebuttals, or amplifications.

(d) Review of the file by COTAP

The entire file is submitted to the Dean of Faculty and Provost’s Office, and the Associate Dean of Faculty, or other member of the Provost’s staff as designated by the Dean of Faculty and Provost, will check to see that all required materials (except for the last three items) are included. If the Associate Dean of Faculty determines that something is missing, she/he will ask the Review III Committee to remedy the problem. The file will be sent to COTAP when it is complete.

COTAP members will read the complete file, and then discuss the case as a group. In the course of its deliberations, it may convene a meeting with the Review III Committee for the purpose of better understanding its recommendation. It may also meet separately with the signers of any dissenting statement. Following its deliberations, COTAP will write a signed report explaining its recommendation. In cases where COTAP comes to a recommendation different from that in Review III Committee report, its report must make clear why it disagrees. This report is sent to the candidate, the chair of the Review III Committee, and the Dean of Faculty and Provost. The candidate will confirm, in a letter addressed to the Dean of Faculty and Provost, with copies to COTAP and the chair of the Review III Committee, that she/he has read COTAP’s statement. The candidate may make comments, corrections, rebuttals, or amplifications in this letter. The deadline for receipt of this confirmation letter will be set by COTAP, generally allowing seven days for a response. Once the candidate has sent this letter, COTAP will meet with the Dean of Faculty and Provost and the President to discuss the case.

(e) Final decision regarding Review III

Following the meeting of COTAP with the President and the Dean of Faculty and Provost, the Dean of Faculty and Provost makes his/her own recommendation to the President. Prior to making this recommendation, the Dean of Faculty and Provost may meet with the Review III Committee or COTAP if she/he thinks it necessary. The President, having received the recommendation of the Dean of Faculty and Provost, may meet with COTAP or the Review III Committee prior to making his/her recommendation to the Board of Trustees. The President will write a letter to the candidate, with copies to the Dean of Faculty and Provost and the Review III Committee chair, to inform the candidate of the outcome of Review III. Following a negative decision, the candidate may request from the Dean of Faculty and Provost a written explanation of that decision.
Sabbatical and Untenured Leaves

a. Sabbatical Leaves (Chair’s responsibilities in bold)

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). While time on leave of absence is not normally counted in determining eligibility for sabbatical leave, exceptions can be authorized by the President.

(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 chair’s leave, 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. He does not teach at all and receives 80% of his pay.

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

Example 3: Professor S is eligible for a full sabbatical in Year B. She chooses to take that sabbatical as a combination of 2 two-course semesters at full pay. She 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 she 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 her 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 one course sabbatical leave.

Faculty members are not eligible for full sabbatical or semi-sabbatical leave in their last three years 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 Dean of Faculty and Provost, 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 Dean of Faculty and Provost, within 60 days, a short written report of his or her activities and accomplishments while on leave.

A faculty member on sabbatical leave may not accept a teaching appointment in the United States or Canada when on a one-semester leave, and may not accept a teaching appointment for more than a semester if on a full year's sabbatical 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 Dean of Faculty and Provost.

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 Dean of Faculty and Provost 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 Dean of Faculty and Provost no later than February 15th. Upon
completion of the leave, a faculty member will submit to the President and Dean of Faculty and Provost, within 60 days, a short written report of his or her activities and accomplishments while on leave.

Faculty Secretaries

Faculty secretaries provide secretarial and clerical support to faculty members in all aspects of their profession, including reception, answering telephones and relaying messages, typing, copying and filing.

Their responsibilities include:

- Prepare and duplicate class material from rough drafts (handwritten, typed, or edited on disk), such as exams, syllabi, handouts, tables, notes, articles and manuscripts.
- Place material on reserve in the library, perform statistical typing, hand out make-up exams, collect exams and term papers.
- Answer telephone and assist by providing appropriate information and making referrals as necessary; greet and screen visitors; relay messages.
- Assist students, faculty and other offices upon request.
- Format, type and photocopy correspondence from drafts; compose routine correspondence; correct spelling and grammatical errors as needed.
- Type, photocopy and mail as required, confidential tenure and promotion reports, grievance reports, manuscripts, grant proposals, special projects, and confidential letters of recommendation for students applying to graduate schools.
- Coordinate off-campus speakers and visiting job applicants – handle travel arrangements, accommodations, luncheons, dinners; expedite payment vouchers for honoraria and travel expenses.
- Order and maintain adequate office supplies; research price quotes from outside vendors; prepare purchase requisitions, check invoice against supplies received/ordered, verify amounts, charge to specific account and expedite to business office for payment. Monitor and track all departmental expenditures.
- Maintain departmental correspondence and other filing systems unique to the departments, including faculty schedules, departmental searches, departmental student-related records.
- Type, copy, distribute, count, file and maintain records of all course evaluations in confidential files.
- Deliver and pick up materials from Post Office, Bookstore, Library, Central Services and other campus offices.
- Provide general instruction on use of word processor and photocopier to faculty as required.
- Open, screen, process and forward mail for faculty on leave.
- Order textbooks and desk copies for faculty.
- Prepare monthly photocopier billings, read machine, balance accounts, and charge to appropriate departments.
• Process and keep records of building maintenance and repairs.
• Provide direction to student employees by assigning tasks and maintain a record of hour worked.
• Other duties as assigned or as required.

Chair’s Relief Policy (as of AY 2005-2006)

During the period that a chair is serving his/her department or program, Hobart and William Smith Colleges provides support for departmental and program chair duties as follows:

1. Category A: For chairs of departments with 5 allocated tenure-track/tenured faculty or greater, 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 $2,000, 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 $1,500, 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 de-valuation from inflation.

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. Chairs serving under the current chair’s leave system (in which the faculty member will have served three consecutive years) will be permitted to take a chair’s leave at the end of the three years of service or be provided with alternative compensation in the form of a research stipend based on the categories above.

7. 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.
8. The Chair’s Relief Policy will be formally reviewed after five (5) years. This will allow the liquidation of current obligations and see the new policy through at least one cycle. At that point we may have a better sense of consistent variations in the chair’s workload. However, CoFac will monitor how work load issues develop as it studies faculty work load and department reporting and may make adjustments before the five year review.
### Important Dates and Deadlines

**IMPORTANT DATES AND DEADLINES**

#### 2010-11

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November 1-5          Advising Weeks
November 1          Faculty Meeting
November 8-17          Spring 2010 Registration
November 18          Fall Honors Projects due
November 24-28          Thanksgiving Recess
December 1-5          Fall honors oral exams
December 6          Faculty Meeting
December 10          Last Day of Classes
December 11-13          Reading Days
December 14-17          Final exams
December 15          Contract Renewal Recommendations due to Provost’s Office
December 18          Residences close at noon
December 19 – January 16          Break
December 20          Final grades are due to the Registrar by 12 midnight
December 31          Notice to Provost of pending retirements
January 19          Formal request for sabbatical leave due to Provost’s Office
January 19          First day of classes
January 21          Faculty research grant applications due to Provost’s Office
January 24          Review III cases due to Provost’s Office
January 25          Last day to drop/add classes
                       New course proposals and FY Seminars for 2011-12 due to Registrar
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<tr>
<td>February 14</td>
<td>Review I cases due to Provost’s Office</td>
</tr>
<tr>
<td>February 21</td>
<td>Student Summer Research Opportunity applications due</td>
</tr>
<tr>
<td>February 24</td>
<td>Final changes to Schedule of Courses for AY2011-12 due to Registrar</td>
</tr>
<tr>
<td>March 4</td>
<td>Incomplete grade changes for 10F due to Registrar</td>
</tr>
<tr>
<td>March 7</td>
<td>Faculty Meeting</td>
</tr>
<tr>
<td>March 12-20</td>
<td>Spring Break</td>
</tr>
<tr>
<td>February 24</td>
<td>Reserved first-year seats due to Registrar</td>
</tr>
<tr>
<td>March 28-April 1</td>
<td>Advising Weeks</td>
</tr>
<tr>
<td>April 4</td>
<td>Faculty Meeting</td>
</tr>
<tr>
<td>April 4-11</td>
<td>Fall 2010 Registration</td>
</tr>
<tr>
<td>April 14</td>
<td>Spring Honors Projects due</td>
</tr>
<tr>
<td>April 16</td>
<td>Faculty Prize Nominations due to Provost’s Office</td>
</tr>
<tr>
<td>April 16</td>
<td>Charter Day</td>
</tr>
<tr>
<td>April 14-16</td>
<td>Board of Trustees Meetings</td>
</tr>
<tr>
<td>Date</td>
<td>Event</td>
</tr>
<tr>
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<td>--------------------------------------------</td>
</tr>
<tr>
<td>April 29</td>
<td>Moving Up Day</td>
</tr>
<tr>
<td>April 27 – May 1</td>
<td>Spring honors oral exams</td>
</tr>
<tr>
<td>May 3</td>
<td>Last Day of Classes</td>
</tr>
<tr>
<td>May 4-6</td>
<td>Reading Days</td>
</tr>
<tr>
<td>May 7-10</td>
<td>Final Exams</td>
</tr>
<tr>
<td>May 10</td>
<td>Senior grades due to Registrar</td>
</tr>
<tr>
<td>May 13</td>
<td>Faculty Meeting @ 9:00 AM</td>
</tr>
<tr>
<td>May 15</td>
<td>Commencement</td>
</tr>
<tr>
<td>May 14</td>
<td>All underclass grades are due</td>
</tr>
<tr>
<td>June 2</td>
<td>Last day for Chairs to meet with first-year faculty to review teaching</td>
</tr>
<tr>
<td>June 3-5</td>
<td>Reunion</td>
</tr>
</tbody>
</table>

All Faculty Meetings will be held in the Vandervort Room. The meetings will begin at 4:00 PM except for the last meeting of the year which begins at 9:00 AM.
Program Review Schedule

During the Middle States accreditation review in 2004, the Colleges were required to implement a regular and recurring cycle of program and department reviews. From 2005-2008, CoAA and CoFac, working with the Assessment Committee, generated guidelines and procedures for the reviews. As part of those procedures, the Provost has asked that the schedule of reviews be reviewed annually by CoAA and CoFac.

The schedule below was generated by the following principles: 1) we identified volunteers to begin the schedule in 2009; 2) we ordered departments by the proximity to the last review of the department or program; and 3) we sought to achieve a diversity of disciplines and program size in any given year.

<table>
<thead>
<tr>
<th>2009-2010</th>
<th>2012-2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>Geoscience</td>
<td>Africana Studies</td>
</tr>
<tr>
<td>Writing &amp; Rhetoric</td>
<td>Biology</td>
</tr>
<tr>
<td>2010-2011</td>
<td>Mathematics &amp; Computer Science</td>
</tr>
<tr>
<td>Anthropology &amp; Sociology</td>
<td>Theatre</td>
</tr>
<tr>
<td>Asian Languages &amp; Cultures</td>
<td>Women’s Studies</td>
</tr>
<tr>
<td>Economics</td>
<td>2013-2014</td>
</tr>
<tr>
<td>English</td>
<td>Chemistry</td>
</tr>
<tr>
<td>History</td>
<td>German Area Studies</td>
</tr>
<tr>
<td>Music (modified)</td>
<td>Media &amp; Society</td>
</tr>
<tr>
<td>Philosophy</td>
<td>Public Policy</td>
</tr>
<tr>
<td>Political Science</td>
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<tr>
<td>Religious Studies</td>
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<tr>
<td>Spanish &amp; Hispanic Studies</td>
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</table>

<table>
<thead>
<tr>
<th>2011-2012</th>
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</thead>
<tbody>
<tr>
<td>American Studies</td>
<td></td>
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<tr>
<td>Art</td>
<td></td>
</tr>
<tr>
<td>Classics</td>
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<tr>
<td>Dance</td>
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<tr>
<td>Education</td>
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<tr>
<td>Environmental Studies</td>
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<tr>
<td>French &amp; Francophone Studies</td>
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<tr>
<td>Physics</td>
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<tr>
<td>Psychology</td>
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<tr>
<td>Russian Area Studies</td>
<td></td>
</tr>
</tbody>
</table>

Appeals Process: It is expected that programs and departments will have to go forward with a review during a semester or year when one member of the department or program is on leave, sabbatical, or teaching abroad. If the scheduled review poses undue hardship, however, Chairs should appeal directly to the Provost and Dean of Faculty.
Appendices

Web Links

- Provost’s Office – http://www.hws.edu/offices/provost/
- Registrar’s Office – http://www.hws.edu/offices/registrar/
- Library – http://library.hws.edu/

Department and Program Review Procedures
http://www.hws.edu/offices/provost/pdf/program_review_guidelines_2010.pdf

Faculty Recruiting and Hiring Handbook

Sexual Misconduct Policy

Things We Wish We Had Known Sooner!—Information, Tips and Hints for New Faculty at Hobart and William Smith Colleges (10th ed.)