

C·S  
1837

# FACULTY HANDBOOK



May 2016

## *Notice of Nondiscrimination*

Colby-Sawyer College is committed to being an inclusive and diverse campus community, which celebrates multiple perspectives. Under institutional policy, as well as under state and federal law (including Title IX of the Education Amendments of 1972 and the Age Discrimination Act), Colby-Sawyer College does not discriminate in its hiring or employment practices or its admission practices on the basis of gender, race or ethnicity, color, national origin, religion, age, mental or physical disability, family or marital status, sexual orientation, veteran status, genetic information, or gender identity.

In addition, Colby-Sawyer College seeks to provide an environment free from all forms of sex discrimination, and expects all college community members, visitors, vendors and other third parties to uphold this effort. Sexual harassment, sexual assault and sexual violence are forms of sex discrimination.

Colby-Sawyer College has designated multiple individuals to coordinate its nondiscrimination compliance efforts. Questions, complaints, or concerns about issues of discrimination or harassment, including complaints of sex discrimination in violation of Title IX and age discrimination in violation of the Age Discrimination Act, may be directed as follows:

- For Students: Interim Vice President of Student Development and Dean of Students, Robin Davis – Deputy Title IX Coordinator, Ware Campus Center. Phone: 603.526.3755.
- For Staff employees: Vice President for Human Resources and Assistant Treasurer, Douglas Atkins (through December 2016; remainder of 2016-2017 academic year to be determined) – Lead Title IX Coordinator. Phone: 603.526.3880.
- For Faculty: Interim Academic Vice President and Dean of Faculty, Laura Alexander – Deputy Title IX Coordinator. Phone: 603.526.3760.

Colby-Sawyer College has adopted grievance procedures to respond to complaints of discrimination or harassment, as follows:

- For Complaints about Students: Code of Community Responsibility: Conduct System.
- For Complaints about Employees: Employee Handbook, Discriminatory & Sexual Harassment Policy.

Faculty at Colby-Sawyer College are bound by the Employee Handbook in addition to the Faculty Handbook. The Employee Handbook can be found on myColby-Sawyer at <https://my.colby-sawyer.edu/myhr>.

## *Table of Contents*

Part I: Organization and Governance.....	1
History.....	1
Mission.....	2
Academic Area Organization Chart.....	3
Board of Trustees.....	4
Administrative Structure.....	4
The President .....	4
Responsibilities.....	4
Officers Reporting to the President.....	4
Chief of Staff and Director of Strategic Planning.....	5
Academic Vice President and Dean of Faculty .....	5
Officers Reporting to the Academic Vice President and Dean of Faculty .....	5
Academic Dean.....	5
Dean of the School of Nursing and Health Professions.....	5
Department Chairs .....	5
Method of Selection.....	6
Term of Office and Removal of Chair.....	6
Responsibilities.....	6
Vice President for Human Resources .....	8
Vice President for Advancement .....	8
Vice President for Finance.....	8
Vice President for Student Development and Dean of Students .....	8
Vice President for Enrollment Management.....	8
College Governance.....	8
The Student Government Association .....	9
Administrative Committees and Councils .....	9
The Senior Staff .....	9
Academic Council.....	9
Part II: Faculty Handbook.....	11
1.0: The Constitution and Bylaws of the Faculty of Colby-Sawyer College.....	11
1.1: The Constitution .....	11

1.1.1, Article I: Name .....	11
1.1.2, Article II: Purpose.....	11
1.1.3, Article III: Powers.....	11
1.1.4, Article IV: Amendment .....	11
1.2: Bylaws of the Faculty of Colby-Sawyer College .....	11
1.2.1, Article I: Membership.....	11
1.2.2, Article II: Officers.....	12
1.2.3, Article III: Meetings .....	12
1.2.4, Article IV: Mode of Conducting Business.....	12
1.2.5, Article V: Responsibilities of the Faculty Moderator .....	14
1.2.6, Article VI: Committees.....	15
1.2.7, Article VII: Amendment.....	15
1.2.8, Article VIII: General Policies on Elections and Vacancies on Committees.....	15
1.2.8.1: Election.....	15
1.2.8.2: Filling of Vacancies of Elected Committees .....	16
1.2.8.3: General Regulations Concerning Membership and Procedures of Faculty Committees .....	16
1.2.8.4: The Faculty Committees.....	18
1.2.8.4.1: Academic Policies Committee.....	18
1.2.8.4.2: Academic Review Board .....	19
1.2.8.4.3: Committee for Faculty Development and Research .....	20
1.2.8.4.4: Faculty Personnel Committee.....	21
1.3: Revision of the Faculty Handbook .....	22
1.3.1: Procedure for Revision of the Faculty Handbook .....	22
1.3.2: Proposed Amendments to the Faculty Handbook.....	22
1.3.3: Role of the President.....	22
1.3.4: Board of Trustees Approval.....	23
1.3.5: Emergency Procedure .....	23
1.3.6: General Rules of Implementation .....	23
2.0: Faculty Employment Policies and Procedures.....	24
2.1: Definition of Faculty, Faculty Rank and Faculty .....	24
2.1.1: The Ranked Faculty .....	24
2.1.2: Full-Time Faculty .....	24
2.1.3: Pro Rata Faculty.....	25
2.1.4: Criteria for Appointment to Specific Ranked Faculty Status .....	25
2.1.5: Types of Faculty Appointments.....	25

2.1.5.1: Tenure-Eligible Faculty Appointments .....	25
2.1.5.2: Non Tenure-Eligible Faculty Appointments.....	25
2.1.5.2.1: Visiting Faculty.....	25
2.1.5.2.2: Teaching Fellows.....	26
2.1.5.2.3: Adjunct (Part-Time Per Course) Faculty .....	27
2.1.5.3: Special Appointment Faculty.....	27
2.1.5.3.1: Professor Emerita/us .....	27
2.1.5.3.2: Affiliate Professor.....	28
2.1.5.3.3: Scholar-in-Residence .....	28
2.1.5.3.4: Staff with Faculty Rank .....	28
2.1.6: Types of Faculty Contracts and Contract Policies.....	28
2.1.6.1: Contract Types .....	28
2.1.6.1.1: Term Contracts .....	28
2.1.6.1.2: Annual Contracts .....	29
2.1.6.1.3: Tenure and Tenure-Eligible Contracts.....	29
2.1.6.2: Locus of Appointments.....	29
2.1.6.3: Issuance and Receipt of Contract.....	29
2.1.7: Search and Appointment Policies and Procedures .....	30
2.1.7.1: Authority to Hire.....	30
2.1.7.2: Search Process .....	30
2.1.7.3: Determination of Academic Rank, Terminal Degree, and Years of Teaching Experience.....	30
2.1.7.4: Faculty Appointment .....	31
2.1.7.4.1: Initial Appointment of Full-Time and Pro Rata Ranked Faculty .....	31
2.1.7.4.2: Appointment of Adjunct (Part-Time Per Course) Faculty.....	31
2.1.8: Personnel Records.....	31
2.1.8.1: Official Personnel File .....	31
2.1.8.2: Official Personnel File, Adjunct (Part-Time Per Course) Faculty.....	32
3.0: Faculty Evaluation and Development Policies and Procedures.....	34
3.1: Faculty Rights and Responsibilities.....	34
3.1.1: Academic Freedom .....	34
3.1.2: Code of Professional Ethics.....	35
3.1.3: Violations of Faculty Rights, Academic Freedom, and Professional Ethics .....	36
3.1.4: Faculty Responsibilities.....	36
3.1.5: Ownership of Intellectual Property and Course Materials.....	37
3.2: Faculty Evaluation: Sequence of Evaluation Reviews .....	38

3.2.1: First Year Review .....	38
3.2.2: Second Year Review.....	39
3.2.3: Third Year Review.....	39
3.2.3.1: Process for Third Year Review.....	40
3.2.4: Fourth Year Review.....	41
3.2.5: Fifth Year Review.....	41
3.3: Tenure and Promotion Procedures.....	42
3.3.1: Tenure Review (Sixth Year).....	44
3.3.1.1: General Policies and Guidelines.....	45
3.3.1.2: Extending the Tenure Review Period.....	45
3.3.2: Promotion Review Process.....	46
3.3.2.1: General Policies and Guidelines.....	46
3.4: Post Tenure Review .....	47
3.4.1: Procedures for Post Tenure Review.....	47
3.5: Conversion of Visiting Faculty Positions to Tenure-Eligible Positions.....	48
3.6: Extension of Visiting Faculty Position.....	48
3.7: Evaluation Criteria.....	49
3.7.1: Teaching and Advising.....	49
3.7.1.1: Teaching Experience.....	49
3.7.1.2: Teaching Effectiveness.....	49
3.7.2: Advising.....	50
3.7.3: Scholarship and Creative Work.....	51
3.7.4: Service .....	52
3.7.5: Individual Professional Development Plan.....	53
3.8: Determination of Terminal Degree Equivalency.....	53
3.9: Faculty Rank.....	54
3.9.1: Instructor.....	54
3.9.2: Assistant Professor.....	55
3.9.3: Associate Professor.....	55
3.9.4: Professor .....	56
3.11: Rank for Professional Librarians .....	56
3.10.1: Instructor.....	56
3.10.2: Assistant Professor.....	56
3.10.3: Associate Professor.....	57
3.10.4: Professor .....	57
3.10.5: Rights and Privileges for Professional Librarians .....	57

3.11: Rank for Staff with Faculty Status.....	58
3.11.1: Criteria for Establishing Faculty Rank for Administrators Other than Professional Librarians .....	58
3.13: Work Expectations.....	58
3.12.1: Academic Expectations.....	58
3.12.2: Definition of “Year” .....	59
3.12.3: Primary Faculty Responsibility .....	59
3.12.4: Outside Activities and Outside Professional Activities.....	59
3.12.4.1: Examples of Usual Outside Professional Activities of Faculty .....	60
3.12.4.2: Conflicts with Primary College Responsibility and Outside Activities .....	60
3.12.4.3: Applicable Procedures .....	60
3.12.5: Use of Facilities and Services .....	60
3.12.6: Use of the College Name and Seal .....	61
3.12.7: Political Activity .....	61
3.12.8: Compliance and Enforcement.....	61
3.13: Working Conditions.....	62
3.13.1: Private Property on Campus .....	62
3.13.2: Closing of the College .....	62
3.13.3: Human Participants in Research.....	62
3.13.4: Response to Allegations of Research Misconduct.....	62
3.13.4.1: Process for the Allegation.....	63
3.13.4.2: Education and Training.....	64
3.13.5: Animal Research or Other College Sponsored Activity .....	64
3.13.6: Pets.....	64
3.13.7: Mountain Day .....	65
3.14: Benefits .....	65
3.15: Leaves and Absences .....	65
3.15.1: Absences .....	65
3.15.2: Leaves with Pay.....	65
3.15.2.1: Short-Term Disability Leave and Parental Leave.....	65
3.15.2.2: Civil Duty Leave.....	65
3.15.2.3: Military Leave.....	66
3.15.3: Leave without Pay .....	66
3.16: Human Rights Policy .....	67
3.17: Employment Conflict of Interest .....	67
3.18: Separation .....	68

3.19: Resignation .....	68
3.19.1: Faculty Voluntary Transition Program .....	68
3.19.2: Faculty Gradual Retirement Program .....	69
3.19.2.1: Hire Date before June 1, 1978 .....	71
3.19.2.2: Hire Date after June 1, 1978 .....	71
3.19.3: Status and Privileges of Retired Faculty Members and Those in the Voluntary Transition Program .....	71
3.20: Non-Reappointment (Annual and Terminal Contracts Only).....	72
3.21: Layoff/Termination.....	72
3.21.1: Changes in Curricular Requirements, Academic Programs, or Departments in Whole or in Part.....	73
3.21.2: Enrollment or Financial Emergency .....	73
3.21.3: Financial Exigency .....	74
3.21.4: Overstaffed Academic Units.....	74
3.21.5: Prolonged Mental or Physical Illness .....	74
3.21.6: General Procedures Regarding Layoff .....	74
3.21.7: Specific Procedures on Layoff.....	75
3.21.8: Order of Layoff .....	75
3.21.9: Appeals on Layoff .....	76
3.22: Dismissal for Cause .....	76
3.22.1: Reasons for Dismissal for Cause .....	77
3.22.2: Progressive Discipline .....	77
3.22.3: Dismissal for Ineffective Teaching.....	78
3.22.3.1: Procedures for Dismissal for Ineffective Teaching .....	78
3.22.4: Dismissal Procedures.....	78
3.22.5: Action Short of Dismissal.....	79
3.23: Faculty Grievance Procedure.....	79
3.23.1: Intent .....	79
3.23.2: Definition.....	80
3.23.3: Eligibility .....	80
3.23.4: Timeliness.....	80
3.23.5: Procedure .....	80
3.23.5.1: Preliminary Review .....	82
3.23.5.2: Grievance Hearing and Recommended Action .....	82
3.23.5.3: Presidential Review .....	83
3.23.5.4: Discretionary Appeal to the Board of Trustees .....	83



3.24: Faculty Development: Professional Growth and Development .....	84
3.24.1: Sabbatical Leave .....	84
3.24.1.1: Eligibility .....	85
3.24.1.2: Number of Leaves.....	85
3.24.1.3: Stipend for Sabbatical Leaves.....	85
3.24.1.4: Criteria .....	85
3.24.1.5: Application Procedures.....	87
3.24.1.6: Obligations of Sabbatical Leave Recipients .....	87
3.24.1.7: Deferring Sabbatical Leave .....	88
3.24.2: Course Release Time .....	89
3.24.2.1: Eligibility .....	89
3.24.2.2: Criteria .....	89
3.24.2.3 Application Procedures.....	89
3.24.2.4 Obligations of the Recipient .....	90
3.24.2.5 Number of Course Releases for Projects .....	90
3.24.3: Faculty Development Funds .....	90
3.24.4: Faculty Enrollment in Colby-Sawyer Courses .....	90

## **PART I: ORGANIZATION AND GOVERNANCE**

This section describes the organization and governance of the college. This section is updated administratively from time to time to reflect current structures and practices, in consultation with faculty when applicable. This section is descriptive in nature and not subject to faculty vote.

### **History**

1837 – New London Academy

1878 – Colby Academy

1928 – Colby Junior College for Women

1975 – Colby-Sawyer College

Colby-Sawyer is a college that has grown and changed in response to changing times and the educational needs of students. The college had its origin in 1837 when a legislative charter was granted to eleven New London citizens for the purpose of establishing a school in the town. In May of 1838, the Academy welcomed its first students who began what was to become a cherished tradition of education. The original New London Academy Building now houses the New London Town Offices.

Susan Colby served as the first teacher and principal. She later married James B. Colgate of New York, and remained actively involved with the school's progress. Each generation of Susan Colby Colgate's family has been identified with the life of the college. Colgate Hall, a central classroom and office building on campus, was the gift of her daughter, Mary Colgate. The special relationship with the Colby family was formally recognized in 1878, when the New London Academy was renamed Colby Academy.

In 1928, after ninety years as a coeducational academy, Colby Academy became a junior college for women. Under the leadership of President H. Leslie Sawyer, Colby Junior College became widely recognized and acquired a national reputation. Enrollment grew and new buildings were constructed to meet the growing number of applicants to the college's programs. In 1943, the College Charter was amended to allow for the introduction of baccalaureate programs. As these programs gradually expanded and the character of the college shifted as women enrolled in increasing numbers into the baccalaureate programs. In 1975, the college was renamed Colby-Sawyer College in honor of its first president and in recognition of its enlarged mission. In 1989, the Board of Trustees voted to re-admit men, returning the college to its coeducational roots.

Dr. Sawyer served as president until his retirement in 1955. His successors contributed to further growth and expansion, each one leaving an individual stamp on the college. Presidents Eugene M. Austin (1955-1962) and Everett Woodman (1962-1972) shaped the development and diversity of the student body and had a vision for the future during a period of unusual prosperity. The college began its transition to a baccalaureate institution during the administration of President Louis C. Vaccaro (1972-1978) and completed this change under President H. Nicholas Muller, III (1978-1986). Dr. Muller was instrumental in the establishment of the Susan Colgate Cleveland Library/Learning Center which won awards for its innovative design and today provides an environment which is extraordinarily conducive to study and learning.

President Peggy A. Stock (1986-1995) was the sixth (and the first woman) president of the college. Under Dr. Stock's guidance, enrollment grew, the college completed its first capital campaign, and many buildings were constructed or renovated. Among them were the Hogan Sports Center, for athletics, recreation and fitness; Rooke Hall, a 100 student apartment-style residence hall; and the Ware Campus Center (currently the Ware Student Center).

President Anne Ponder became the seventh president of Colby-Sawyer College in March of 1996. A nationally known expert in programs for gifted and talented college students, Dr. Ponder served as vice president at Kenyon College before she became president of Colby-Sawyer. Anne Ponder served as the seventh president of Colby-Sawyer College from 1996 to 2005. She led the largest capital campaign in college history, raising more than \$40 million for endowment, capital projects, and academic support. During her tenure President Ponder led a drive to return a historic building, now named Lethbridge Lodge, to campus for student use, extended the college's contiguous landholdings to 200 acres, and built two new residence halls, Danforth and Lawson Halls.

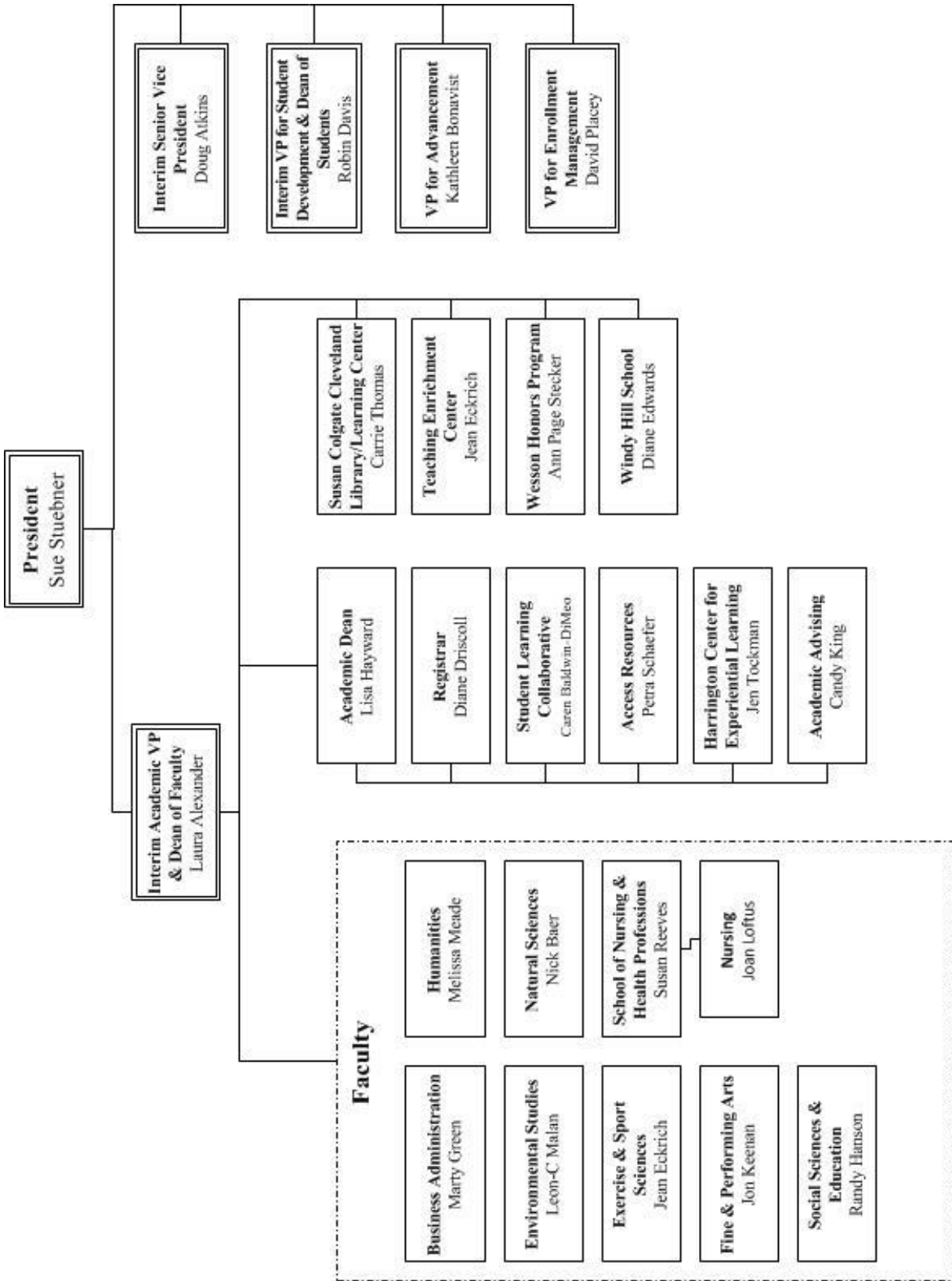
In August 2006, Thomas C. Galligan Jr., former dean and professor of law at the University of Tennessee College of Law, took office as the college's eighth president. In the first term of his tenure at Colby-Sawyer, the entire college community worked together to lead an enrollment increase, renovate several of the older buildings, engage in a collaborative discussion to develop a new strategic plan to guide the college toward the future, and add even more points of mutually beneficial contact to the town-gown relationship.

The ninth president of Colby-Sawyer College, Susan D. Stuebner, began her term in July 2016. Sue Stuebner came to Colby-Sawyer following more than two decades experience in higher education, most recently as the executive vice president and chief operating officer at Allegheny College.

### **Mission**

Colby-Sawyer College is a private, independent college offering undergraduate and graduate educational programs based in the liberal arts and sciences and designed to prepare students for their professions and lives of ongoing learning. Faculty, staff and students strive for excellence in the college's engaged teaching and learning community to foster students' academic, intellectual, and personal growth. The college prepares students to thrive in, and make a positive impact upon, a dynamic, diverse, and interdependent world. Colby-Sawyer College was founded as an academy in 1837 and has been engaged in higher education since 1928.

# Academic Area Organization Chart



## **Board of Trustees**

The Board of Trustees is the legal governing body and the chartered legal entity for Colby-Sawyer College. As such, it is the final institutional authority and grants all degrees awarded by the institution, upon the recommendation of the academic vice president and dean of faculty. Its primary responsibility is the articulation of general educational policies and academic goals. In so doing, it is obligated to protect the financial resources of the college, plan and direct the financial resources and relate them to the needs of the present and the future of the college. While maintaining a general overview, the board entrusts the conduct of administration of the college to the president and through the president to other administrative officers of the institution; the board entrusts to the faculty the conduct of teaching, scholarship, research and recommending and advising on curriculum. When ignorance or ill-will threatens the institution or any part of it (e.g., an attack on academic freedom), the board is available for support of the president, the faculty, or the student body, thereby defending the vested interest of society in Colby-Sawyer College.

## **Administrative Structure**

### **The President**

The president is appointed by the Board of Trustees, with the involvement of the faculty, staff, and students in the selection process. As the chief executive officer of the college, the president supervises and directs its affairs. It is the duty of the president to assure that the standards and procedures in operational use within the institution conform to the policies established by the Board of Trustees and to the standards of sound academic practice. The president shares responsibility for the definition and attainment of goals and for operating the communications systems which link the components of the college. The president is largely responsible for the maintenance of existing institutional resources and the creation of new resources, and is the chief spokesperson and representative of the college. In all these areas, the responsibilities of the president are to plan, organize, direct and represent.

### **Responsibilities**

- Executes the acts and policies of the board.
- Is responsible ultimately for all operations of the college.
- Is empowered by the board to retain, dismiss and determine the compensation for college employees.
- Has general charge of the intellectual and social life of the college.

The president is a non-voting ex officio member of all standing committees of the board, faculty, and college, and of the faculty of the college and of all its committees, with the exception of the Academic Review Board.

### **Officers Reporting to the President**

- Chief of staff and director of strategic planning
- Academic vice president and dean of faculty
- Vice president for human resources
- Vice president for finance
- Vice president for advancement

- Vice president for enrollment management
- Vice president for student development and dean of students

### **Chief of Staff and Director of Strategic Planning**

The chief of staff and director of strategic planning supports the president in all matters; acts as liaison between the president's office and all college constituencies as assigned; understands the college's educational philosophy, operating policies and procedures to help ensure institutional priorities and objectives are represented and managed; helps to facilitate strategic management processes; and provides expertise and program management for specific strategic initiatives critical in meeting the institution's strategic plan goals.

### **Academic Vice President and Dean of Faculty**

The academic vice president and dean of faculty is the chief academic officer and oversees the development, implementation, and evaluation of academic policies and programs; recommends to the president the allocation of resources among academic units; recommends to the president all appointments, promotions, tenure, and sabbatical leaves of academic personnel; is responsible for coordinating the academic planning and budgeting process; and, when requested, represents the president inside and outside the college community.

### **Officers Reporting to the Academic Vice President and Dean of Faculty**

#### **Academic Dean**

The academic dean reports directly to the academic vice president and dean of faculty and is responsible for the coordination and management of academic support services and of assessment activities, as well as for the development and management of on-line academic initiatives and programs.

#### **Dean of the School of Nursing and Health Professions**

The dean of the School of Nursing and Health Professions reports directly to the academic vice president and dean of faculty and leads the programmatic offerings of the school including program development, approval, implementation, accreditation and evaluation. The dean provides direct leadership and supervisory responsibility for planning and executing budgets, administration and evaluation for all academic units within the school, including the graduate nursing degree program, and supervises the school's chairs, program directors and program coordinators. The dean works with the academic vice president and dean of faculty to monitor, assess and continuously improve the school's curriculum and academic standards and leads the school's assessment program.

#### **Department Chairs**

The department chair is responsible for managing an academic department, including responsibilities for curriculum, personnel, resources, student issues, assessment, and general administration. Department chairs share responsibility for the administration of the college and the development of the faculty and programs within their department. They are responsible for gathering opinions and representing views of the faculty, for communicating information to the department, for offering advice and counsel to the administrative officers

of the college, and for leading the development and implementation of the academic strategic directions of the college.

#### Selection and Evaluation of Department Chairs

Department chairs are appointed by the academic vice president and dean of faculty. When a vacancy occurs, the academic vice president and dean of faculty, in consultation with the department members, determines whether an external or internal chair will be sought. If an internal chair is sought, all members of the department nominate a candidate with reasons for the nomination. Nominations are submitted in writing to the academic vice president and dean of faculty. If an external chair is sought, the appropriate search procedures are followed.

Chairs are evaluated annually by the academic vice president and dean of faculty according to established procedures and objectives. The academic vice president and dean of faculty and director of human resources coordinate a regular training program for chairs.

#### Term of Office and Removal of Chair

The department chair normally is selected to serve a term of five years. A chair may be reappointed through the selection process described above. The academic vice president and dean of faculty can relieve the department chair of administrative duties for failure to enact the roles and responsibilities of the chair. Normally, such a decision would follow the annual evaluation process; however, it could occur at any time there is substantive cause. Being relieved of administrative duties does not affect the individual's status as a faculty member.

When a department chair is to be absent for a period of one month or less, the chair has the authority to appoint a substitute from within the department with the authorization of the academic vice president and dean of faculty. When the absence is unforeseen or will be for more than a month, the academic vice president and dean of faculty appoints an interim chair.

The academic year for a department chair includes an additional month of work, extending past the end and beginning prior to the start of the nine-month faculty contract, and includes variable responsibilities over the summer months.

#### Responsibilities of Chair

The department chair has all of the responsibilities of a faculty member. In addition, the following responsibilities apply to the role of the chair:

- General Administrative Responsibilities: those pertaining to maintaining and improving the relationships of the department and the college community.
  - Develop and implement the department's mission, goals, and objectives as they relate to the college's mission and strategic plan.
  - Report accomplishments, concerns, and results of assessment activities to the academic vice president and dean of faculty.
  - Serve as liaison with various divisions and offices of the college, e.g., admissions, advancement, career development.

- Plan and conduct department meetings at least once a month and make minutes of such meetings available to the academic vice president and dean of faculty's office.
  - Prepare and submit to the academic vice president and dean of faculty an annual department report (no later than June 15).
- Business and Financial Responsibilities: those required for the financial management and conduct of the department
  - Prepare and manage the budget. Analyze, project, and propose personnel lines, capital needs, revenue, and expenses for proposed new programs, and operating efficiency.
  - Offer general oversight for specialized teaching equipment and other departmental supplies and equipment.
  - Work with the academic vice president and dean of faculty and the Development Office in seeking outside funding.
  - Monitor and approve all department expenditures.
- Personnel Oriented Responsibilities: those pertaining to the appointment, supervision, development, evaluation, or dismissal of any faculty member in the department.
  - Assign faculty to teaching schedules, coordinating such schedules with the members of the department, the registrar, the other department chairs, and within the guidelines established by the academic dean. Assist the academic dean and registrar in determining course cancellations and course limits.
  - Support the professional development of the department faculty to continuously improve their teaching, service, and scholarship.
  - Evaluate department members for re-appointment, promotion, tenure, post tenure review, and sabbatical leaves.
  - Select, supervise, and evaluate adjunct faculty.
  - Review the proposals of department members for grants, faculty development fund requests, and sabbatical requests.
  - Manage faculty workload in consultation with the academic vice president and dean of faculty.
  - Share with administrators and department members the responsibility for faculty recruitment and on-going orientation.
  - Support collaboration within the department and across the college.
  - Supervise and evaluate the academic administrative assistant.
  - Select, supervise, train, and evaluate the department coordinator(s) and program director, if any.
- Curriculum, Instruction, and Assessment Responsibilities: those relating directly to the planning and administration of curriculum and instruction including any revision, modification, adaptation, or development of teaching, and curricular programs and offerings.
  - Ensure the academic quality of the department and its degree programs in collaboration with department colleagues through a regular and systematic assessment process.
  - Propose and support the development of new programs, academic initiatives, and/or formation of articulation or affiliation agreements with other institutions.
  - Initiate, plan, and develop new courses and programs to meet changing needs of society.



- Engage in regular program review and evaluation for academic quality, institutional need, and resource requirements, and, if needed and in consultation with the members of the department, propose the modification or elimination of programs
- Prepare and submit material for the college catalog with the assistance of department members.
- Review and supervise instructional practices and course syllabi.
- In collaboration with advisors and the registrar, monitor students' progress through the programs, including major acceptance.
- Where appropriate, coordinate accreditation activities and relationships with external agencies.

### **Vice President for Human Resources**

The vice president for human resources oversees the coordination of personnel- related activities. Among the responsibilities are the coordination of searches, compensation plans, benefits plans and administration, and employee evaluation activities. The vice president is also responsible for college insurance policies and administration and contracts and liaison with legal counsel.

### **Vice President for Advancement**

The vice president for advancement is responsible for the management and direction of all development and alumni affairs efforts that promote the college's visibility and capacity to contribute to the financial health of the institution.

### **Vice President for Finance**

The vice president for finance is responsible for the fiscal management of the college. Among the responsibilities are administration of all fiscal management systems, the development and maintenance of the basic financial accounting and records system, and oversight over the college's technological resources. The vice president also manages the food services and facilities functions, and building projects.

### **Vice President for Student Development and Dean of Students**

The vice president for student development and dean of students is responsible for student development programs and plans, including athletics and recreation, residential education, health and counseling, campus safety, student activities, citizenship education, new student orientation and leadership development.

### **Vice President for Enrollment Management**

The vice president for enrollment management is responsible for admissions, financial aid, and student retention activities.

### **College Governance**

To meet its educational goals, the college is committed to joint planning and effort where appropriate with relevant constituencies of the college. It is important to preserve the distinction between the institutional system of communication and the system of responsibility and accountability for administrative decisions.

The primary responsibilities of the Board of Trustees and the president are outlined in earlier pages of this handbook. One of the primary responsibilities of the faculty is implementing the educational goals of the college by serving an important role in determining and evaluating degree requirements, appropriate curricula, methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process. The power of review or final decision in all these areas is lodged in the Board of Trustees or delegated by the board to the president.

Responsible joint planning and effort by all components of the college occur in established and in ad hoc bodies. Established bodies for faculty participation include the academic departments, and the standing committees of the college.

Joint planning and effort also occur in ad hoc groups composed of both faculty and administrative representatives.

**The Student Government Association** of Colby-Sawyer College is the representative student body (See [Student Government Association](#) online for the Constitution and Bylaws)

## **Administrative Committees and Councils**

### **The Senior Staff**

The Senior Staff is chaired by the president and consists of the academic vice president and dean of faculty, the vice president for human resources, the vice president for finance, the vice president for advancement, the vice president for student development and dean of students, the vice president for enrollment management, and the chief of staff and director of strategic planning.

The president's chief of staff serves as secretary for the Senior Staff, which has responsibilities to the president as follows:

- To provide effective administrative leadership for the college by planning, coordinating, and evaluating all areas of college life.
- To articulate the vision of the institution.
- To initiate, develop, and implement strategies designed to achieve the goals and objectives of the college.

Meeting times are weekly or at the call of the president, who may also invite others to the group as needed for additional reporting and consultation.

### **Academic Council**

The Academic Council is chaired by the academic vice president and dean of faculty, and consists of department chairs, the academic dean, and the dean of the School of Nursing and Health Professions. Other leaders such as members of the Executive Committee, vice president for student development and dean of students, the director of Information Resources, the director of the Teaching Enrichment Center, the Liberal Education Coordinator, and the coordinator of the Wesson Honors Program are invited to attend Academic Council meetings as needed. The responsibilities of this council are as follows:

- To share information among the members of the Academic Council.
- To advise the academic vice president and dean of faculty in the administration of the academic areas.
- To assist in the administration of academic programs.
- To address common academic concerns, including, but not limited to, policies and guidelines regarding student fellowships, scholarships and awards, and college academic events that recognize student achievement.
- To develop plans to support the mission and strategic goals of the college.

Meeting times are monthly or at the call of the academic vice president and dean of faculty.

## **PART II: FACULTY HANDBOOK**

### **1.0**

#### **The Constitution and Bylaws of the Faculty of Colby-Sawyer College**

### **1.1**

#### **The Constitution**

#### **1.1.1**

##### **Article I: Name**

The name of this body shall be the faculty of the college.

#### **1.1.2**

##### **Article II: Purpose**

The purpose of the faculty of the college shall be to develop and recommend the educational policies and programs of the college and to express advice and opinions to the appropriate administrative officers.

#### **1.1.3**

##### **Article III: Powers**

The faculty of the college shall establish bylaws which provide for membership in the faculty of the college, officers and their duties, meeting procedures and a committee structure for the faculty of the college.

#### **1.1.4**

##### **Article IV: Amendment**

These Bylaws may be amended, a quorum being present, by two thirds of the voting members of the faculty present in a regular or special meeting called for the purpose of amendment. Such amendment becomes effective only after approval by a vote of the Board of Trustees.

### **1.2**

#### **Bylaws of the Faculty of Colby-Sawyer College**

#### **1.2.1**

##### **Article I: Membership**

###### Section 1

The voting members of the faculty of the college are:

- a. the ranked, full-time faculty;
- b. the ranked pro rata faculty;
- c. staff with faculty rank, including professional librarians with faculty rank;
- d. any others elected annually who, by two-thirds majority of the membership, a quorum being present, may be voting members. Those in this category who do not have faculty contracts may serve on all committees and councils except Faculty Personnel Committee and the

Academic Review Board. Voting privileges and committee/council service shall not affect contractual status.

## **Section 2**

Nonvoting members are the emeriti, the president, the vice president for administration, the vice president for advancement, the vice president for student development and dean of students, the vice president for enrollment management, and per course adjunct faculty members, all of whom are free to participate in discussion.

### **1.2.2**

## **Article II: Officers**

### **Section 1**

Annually in March the body shall elect from its voting faculty members a moderator of faculty meetings who will conduct the faculty meetings. The moderator will serve a one year term. Following the term of service, the former moderator shall serve in a mentoring capacity to the new moderator for one semester. In the absence of the moderator, the faculty representative to the Board of Trustees shall conduct faculty meetings.

### **Section 2**

There shall be two elected faculty representatives to the Board of Trustees. Annually in March the body shall elect from its voting faculty members one representative of the faculty who may, dependent upon Board of Trustees Bylaws, serve a concurrent two-year term as non-voting representative(s) to the Board of Trustees. One representative will be elected in the even-numbered years and one in the odd-numbered years. If both faculty representatives to the Board of Trustees are unable to attend a meeting of the Board of Trustees, the moderator will attend in their place. In the case of a vacancy, the faculty shall fill the vacancy at the next faculty meeting.

### **1.2.3**

## **Article III: Meetings**

### **Section 1**

The faculty moderator shall schedule meetings of the faculty of the college at least monthly. The president may, through the moderator, call a special meeting at any time.

### **Section 2**

Responsibility for preparing agendas and calling meetings by sending notices of time and place rests with the faculty moderator. The moderator will also preside at the meetings.

### **1.2.4**

## **Article IV: Mode of Conducting Business**

### **Section 1**

In formal sessions, the voting members of the faculty of the college shall consider and ultimately, by majority vote, a quorum being present, accept, amend, or reject proposals brought to it from proposing agencies of the faculty, administrative officers, or ten (10) voting members of the faculty by petition, all of which proposals must have been placed on the agenda of the meeting of the faculty by the faculty moderator.

**Section 2**

A quorum shall consist of a simple majority of the full-time and pro rata faculty.

**Section 3**

All proposals shall be submitted in writing to the faculty moderator.

**Section 4**

Presentation of a proposal to the faculty of the college shall be made by the proposing agency.

**Section 5**

A request in the form of a written document will be sent to the moderator to propose the addition of a discussion item. Required in the request will be the title for the discussion topic and the identity of individual(s) who will lead the discussion. Also to be included will be a written description (100 word maximum) detailing an overview of the discussion topic and the importance of the discussion topic to the faculty. As a final element, the document will include outcome(s) to be achieved as a result of the discussion.

All presentation materials must be submitted to the Faculty Moderator one week prior to the scheduled faculty meeting in which the discussion will occur.

**Section 6**

The faculty shall authorize the registrar to certify students for graduation. Lists of potential graduates shall be distributed to the faculty at least forty-eight hours prior to certification by the registrar.

**Section 7**

Proposals requiring approval by the president and/or the board of trustees that are recommended by the faculty shall be forwarded to the academic vice president and dean of faculty, who shall forward his or her recommendation to the president. Should the president disagree with a faculty action, the president and the Executive Committee of the Faculty shall meet to discuss the next steps. Should a compromise agreeable to all parties not be reached within 90 days of said meeting, the faculty's position and rationale shall be presented to the Academic Affairs Committee of the Board of Trustees at its next meeting through the faculty representative(s) to the board. Any action taken by the Board of Trustees shall be reported to the faculty moderator and chairs of the committees of the college. Ultimate action should be taken in time for inclusion in the next year's *Faculty Handbook*.

**Section 8**

Proposals and resolutions that do not require the approval of the Board of Trustees, having been recommended by the faculty, may be sent to the appropriate college administrators and/or committees.

**Section 9**

Voting shall be by ballot when:

- a. There is an election to fill a vacancy on an elected committee;

- b. The proposing agency so requests;
- c. Seven or more voting members so request.

### **Section 10**

Robert's Rules of Order shall govern the body in all cases to which they are applicable and in which they are not inconsistent with the bylaws of the body. Robert's Rules of Order may be suspended temporarily by a two-thirds vote of the members present.

### **1.2.5**

## **Article V: Responsibilities of the Faculty Moderator**

### **Section 1**

- a. To review and seek improvements in existing college policies by initiating them through proper channels, by coordinating and stimulating committee activities and by directing proposals to the faculty or to administrative officers and councils as appropriate.
- b. To consider proposals sent to the moderator from administrative officers, proposing agencies (committees and councils) of the faculty, or faculty by petition, and after due consideration, to follow one of these procedures:
  - 1. Refer the proposal to the faculty of the college for vote when the proposal requires a vote by the faculty;
  - 2. Forward the proposal to the appropriate administrative officer;
  - 3. Return the proposal to its originator asking that the proposal be resubmitted after clarification.
- c. To receive and consider annually reports from all committees of the faculty of the college by June 1, and to make these available electronically to members of the faculty of the college and administrative officers, including the president;
- d. To arrange meetings of the faculty, to prepare agendas for such meetings, and to notify members of the time and place;
- e. To prepare annually in March a written slate of nominees for all elected faculty members of committees and councils. On or before March 1, the faculty moderator shall prepare and distribute a request for nominations to be received on or before March 15. After determining the willingness of those nominated to serve, the moderator shall prepare a slate of nominees for election at a March meeting of the faculty. Any vacancy in faculty representation shall be filled by election at the first meeting of the faculty subsequent to the occurrence of the vacancy. The moderator shall prepare a slate.

### **Section 2**

The chairs of the faculty committees, the faculty representative(s) to the Board of Trustees, the academic vice president and dean of faculty, and the moderator will act as the Executive Committee of the Faculty as needed; the moderator will chair this group. This body may initiate proposals as well and send them to the faculty. It will act as the *Faculty Handbook* committee.

### **1.2.6**

#### **Article VI: Committees**

The following committees are approved as committees of the faculty of the college.

- a. Academic Policies Committee;
- b. Committee for Faculty Development and Research;
- c. Faculty Personnel Committee;
- d. Academic Review Board.

These committees of the faculty along with the rules of procedure governing committees of the faculty are found in Article VI, "Committees" and the section entitled "General Policies on Elections and Vacancies on Committees."

Faculty may also be asked to serve on college-wide councils and are elected or appointed to said councils through the moderator or academic vice president and dean of faculty. The faculty affirms its responsibility and privilege to take a position on statements, policies, and actions advanced by the college-wide committees, such responsibility and privilege to be exercised through either its elected and appointed representatives to the aforementioned committees or through its actions and statements in session assembled.

Regular reports of actions of these college-wide councils will be given at meetings of the faculty of the college when placed on the agenda as needed by the faculty moderator. The faculty may then recommend a course of action or give its view to the administration of the college on matters which do not require formal faculty approval.

### **1.2.7**

#### **Article VII: Amendment**

Amendment of these Bylaws will be by a two thirds vote of the voting members of the faculty of the college at a regular or special meeting of the faculty of the college. The procedures for placing an amendment on the agenda shall be as in "Mode of Conducting Business, section 1" of these Bylaws. No bylaw may be in violation of the Bylaws of the Board of Trustees or the Constitution of the faculty of the college as approved by the Board of Trustees. The faculty further may not place a college-wide committee of the college under the Bylaws of the Faculty.

### **1.2.8**

#### **Article VIII: General Policies on Elections and Vacancies on Committees**

##### **1.2.8.1**

##### **Election**

##### **Section 1**

Balloting for elected committees, college-wide committees, positions and offices of the faculty of the college will be held annually at the first faculty meeting in March.

##### **Section 2**

The faculty moderator shall distribute forms on which individual faculty members may make suggestions for nominations. Additional nominations will be accepted from the floor before balloting begins.



### **Section 3**

If no nominations for a vacancy are submitted prior to or during the March meeting, the election for that vacancy will be postponed until the first April meeting of the faculty. Nominations will be accepted prior to the start of the meeting, and additional nominations will be accepted from the floor before balloting begins.

#### **1.2.8.2**

##### **Filling of Vacancies of Elected Committees**

Any vacancy in faculty representation shall be filled by election at the first meeting of the faculty of the college subsequent to the occurrence of the vacancy. The faculty moderator shall prepare a slate.

Results of elections for faculty committees will be reported during meetings, immediately following each vote. The specific tally for each vote will not be reported, only the elected member(s) will be announced. At least two who are not voting members of the faculty will count the votes.

#### **1.2.8.3**

##### **General Regulations Concerning Membership and Procedures of Faculty Committees**

###### **Section 1**

Full-time and ranked pro rata members of the faculty of the college, with the exception of first-year faculty, are expected to serve on a minimum of one committee or council each academic year. Full-time and ranked pro rata faculty not serving as appointed or elected members of college-wide committees and councils may expect to serve on ad hoc or special committees appointed during the academic year.

###### **Section 2**

The president and academic vice president and dean of faculty, at their option, are ex officio members of all committees except the Academic Review Board. Ex officio members have all the privileges of membership, except the right to vote.

###### **Section 3**

Administrative officers, staff, alumni, and others may be asked to serve on college-wide committees or councils of the college.

###### **Section 4**

The Student Government Association may elect or appoint representatives to the Academic Policies Committee. The voting rights of student representatives shall be determined by the faculty committees.

###### **Section 5**

A quorum shall consist of a simple majority of full-time and pro rata faculty, excluding ex officio members, unless specified differently in the committee membership description.

###### **Section 6**

Vacancies shall be filled in the manner specified for regular appointment or election at the first faculty meeting after the vacancy occurs.

### **Section 7**

#### Mode of Constitution of Committees

- a. The regular committees of the faculty are the Faculty Personnel Committee, the Committee for Faculty Development and Research, the Academic Policies Committee, and the Academic Review Board.
- b. Ad hoc committees may be created by the faculty or by administrative appointment.

### **Section 8**

#### Chairs and Secretaries

- a. Chairs and secretaries of appropriate faculty committees shall be elected in May by the next year's committee members.
- b. The chair of an ad hoc committee shall be elected by the faculty if the faculty creates the ad hoc committee; if the ad hoc committee is created by administrative appointment, the chair shall be designated by the academic vice president and dean of faculty.

### **Section 9**

#### Duties of the Chair of a Committee

- a. To call meetings of the committee as often as necessary for effective execution of the responsibilities of the committee.
- b. To plan the agendas and to conduct committee meetings.
- c. To prepare budget requests and maintain accounts of expenditures.
- d. To attend to necessary correspondence and reports, including an annual report of committee business submitted by June 1 to the faculty moderator.
- e. To seek and formulate proposals.
- f. To serve as speaker for the committee or delegate others to do so.
- g. To see that all matters within the province of the committee are dealt with in the best interests of the whole college.
- h. To implement as necessary all pertinent recommendations accepted by the president or received from the president's office.
- i. To communicate effectively with the college community where appropriate.

### **Section 10**

#### Duties of the Secretary of a Committee

- a. To keep minutes of the meetings of the committee and assure that minutes are available electronically to the faculty of the college and appropriate administrative offices within seven days.
- b. To assist the chair in any way possible.
- c. To substitute for the chair when necessary.

#### **1.2.8.4**

##### **The Faculty Committees**

Service on college committees is an important responsibility through which the faculty exercises self-governance and self-review. In the exercise of their committee responsibilities, faculty members have a duty to the students, the college, their colleagues, the scholarly profession, and the larger community. Critical to the successful discharge of committee responsibilities is the duty to gather, question, and evaluate information objectively in an atmosphere of intellectual freedom. In order to protect the integrity of the committee process, members of the community respect and avoid interference with their colleagues' committee work; in addition, it is everyone's responsibility to respect the confidentiality of personnel issues.

#### **1.2.8.4.1**

##### **Academic Policies Committee**

- a. Responsibilities:
  - 1. To review and recommend changes in the educational aims and objectives of the college;
  - 2. To develop and maintain academic planning for the college in light of changes in society, higher education, the faculty, and the student body, while maintaining respect for human rights and integrity;
  - 3. To review academic priorities in light of the educational aims and objectives of the college;
  - 4. To review guidelines and procedures for granting academic credit for courses;
  - 5. To review and act on all course proposals, with the exception of topics course proposals. All curriculum issues that affect more than one department will be brought to the full faculty. The faculty will decide by majority vote if this issue should be returned to APC, or if it warrants discussion and vote by the entire faculty;
  - 6. To review all academic programs and to provide consultation on all academic affairs programs;
  - 7. To recommend the addition or deletion of programs of study to the faculty, for review and recommendation to the academic vice president and dean of faculty;
  - 8. To review and make recommendations regarding student placement testing, the student transcript, and other measures of student performance;
- b. Membership:
  - 1. The academic vice president and dean of faculty (ex officio) as needed for information purposes;
  - 2. The academic dean (ex officio); college registrar (ex officio); and other academic affairs staff (ex officio) as needed;

3. One faculty member representing each academic department who will serve a three-year term; the role of this person is to communicate with his or her department regarding academic policies discussed on the committee;
4. Two upper-class students selected by the Student Government Association.

#### **1.2.8.4.2**

##### **Academic Review Board**

- a. Responsibilities:
  1. To review all faculty grievances sent to it in writing.
    - a. To hold hearings, if warranted.
    - b. To make recommendations to the appropriate persons regarding the hearing.
  2. To review and make recommendations on policies regarding student standards, admissions, probation, dismissal, and readmission.
  3. To convene an Academic Review Board to review student academic appeals concerning notices of suspension, dismissal, and to communicate its decisions to the students.
  4. To serve as members of Academic Honesty Appeals Boards when convened by Academic Dean.
- b. Membership of the committee:
  1. Associate dean of students and director of citizenship education;
  2. Director of student success and retention;
  3. Liaison from admissions counseling;
  4. Three tenured members of the faculty, serving staggered three-year terms;
  5. Four nontenured members of the faculty, serving staggered two-year terms;
  6. Two alternate faculty members, one tenured and one nontenured. The role of alternate faculty members is to hear faculty grievances if a member of the committee must recuse himself or herself, or to participate in student hearings if a regular member is unavailable and to attend meetings when the agenda reflects the roles outlined above.
  7. The committee will be co-chaired by one tenured and one nontenured faculty member.
  8. There shall be a maximum of three faculty members from any one given department serving on the committee at one time.
- c. Term Dates for Faculty Members
  1. Membership on the committee begins immediately following election.
  2. Membership on the committee ends on June 30<sup>th</sup> of term's final year.
  3. Co-chairs complete their term on June 30<sup>th</sup> and incoming co-chairs begin July 1<sup>st</sup>.
- d. Membership for Faculty Grievance Panel (see section on Faculty Grievance for details of the grievance process):
  1. Three tenured faculty members and one alternate. Alternates sit on cases if members are unable to serve.
  2. Two nontenured faculty members and one alternate. Alternates sit on cases if members are unable to serve.
  3. None of the seven members shall be members of the Faculty Personnel Committee.
  4. The grievance panel will be chaired by the tenured chair of the Academic Review Board.

5. Any member who has been involved in the evaluation of a candidate (chair or department member or member of the Faculty Personnel Committee review of the candidate) shall be disqualified from participating in that particular case. In such a case, if alternate committee members need to be selected, such selection shall be by election by the faculty of the college.

e. Student Academic Review:

1. Membership:

- a. The board is to be chaired by a chair of the Academic Review Board or designee;
- b. Two faculty members of the Academic Review Board;
- c. The associate dean of students and director of citizenship education or designee;
- d. Liaison from admissions counseling or designee; and
- e. The director of student success and retention (ex officio) or designee will serve as the coordinator of the Academic Review Board.

2. The board may convene regularly four times each year and as needed:

- a. In January; on or immediately before the first day of classes in the spring semester;
- b. In May; on or immediately before the first day of classes in the fall semester.
- c. In September; on or immediately before the first day of classes in the fall semester.

### **1.2.8.4.3**

#### **Committee for Faculty Development and Research**

a. Responsibilities

1. To provide a range of faculty development services to individual faculty members, to academic departments, and to faculty committees;
2. To develop and implement an on-going faculty development program, including in-service days, training sessions, consultative services, and other appropriate activities;
3. To assist the faculty to develop their pedagogy;
4. To assemble and encourage faculty use of current materials and research relative to instructional methodology and other materials related to faculty development;
5. To recommend institutional changes which are supportive of faculty development or which are necessitated by faculty development;
6. To recommend guidelines governing grants for faculty development, research, and travel;
7. To develop and implement procedures for and make recommendations regarding sabbaticals;
8. To assist in the formative post-tenure evaluation of tenured faculty, if faculty being evaluated so wish;

b. Membership

1. The academic vice president and dean of faculty, ex officio, who will attend as needed.
2. Five faculty members elected by the faculty of the college serving staggered three-year terms. Two alternates, serving staggered terms, will be elected from the faculty.
  - a. Any member who has an application before the committee shall not participate in the consideration of that application;
  - b. Any member who voted at the department level on a sabbatical application shall recuse him or herself from the committee's consideration and ranking of the year's sabbatical application pool.

- c. Any member who feels he or she has a conflict of interest in considering any application before the committee shall recuse him or herself from participating in that consideration;
- d. At the beginning of the discussion of any application before the committee, the chair of the meeting will ask if any participant has a conflict of interest in any matter before the committee.

c. Role of Alternates

- 1. Alternates are expected to attend all meetings of the committee.
- 2. An alternate participates as a voting member of the committee in the absence or recusal of an elected regular member.

#### 1.2.8.4.4

#### **Faculty Personnel Committee**

a. Responsibilities

- 1. To recommend policies concerning promotion, tenure, and evaluation of faculty;
- 2. To make recommendations concerning applications for promotion and tenure to the academic vice president and dean of faculty with copies to the president, and to ensure the confidentiality of all individual personnel recommendations and decisions, in part by disposing of all communications from the president and academic vice president and dean of faculty regarding such decisions;
- 3. To assist in other faculty personnel decisions as specified in other sections of this *Faculty Handbook*.
- 4. To inform the faculty of the ratio of tenured and untenured faculty in the fall of each year.

b. Membership:

- 1. Academic vice president and dean of faculty as a nonvoting member will attend only as needed;
- 2. Three (3) tenured and two (2) untenured faculty members, and four (4) alternates (two tenured and two untenured) who are elected by the faculty and serve staggered three year terms. Alternates will be designated as first and second alternates. Insofar as possible, each committee member will represent a different academic department;
- 3. Untenured committee members will not participate in tenure decisions;
- 4. Any member who has been involved in the evaluation of a candidate (chair or department member) shall be disqualified from participating in that particular case.
- 5. Alternates are expected to participate in committee discussion related to the faculty evaluation process and to participate in portfolio reviews in the event that a regular cannot serve. Likewise, when there is a heavy load of reviews (more than five during a semester), the chair will request alternate participation. In these cases, the roster of faculty who will serve on each review will be established by random selection in the meeting before the evaluation sessions are held. An alternate may choose to be more active in other committee responsibilities, but this is not expected as part of his or her service to the committee;
- 6. For tenure applications, there will be three tenured committee members for the portfolio review process. For promotion applications, there will be three tenured and two untenured committee members for the portfolio review process;

7. If a sufficient number of committee members is not available or eligible to review a portfolio, the faculty shall elect an additional alternate member at its next meeting.

### **1.3**

#### **Revision of the *Faculty Handbook***

##### **1.3.1**

#### **Procedure for Revision of the *Faculty Handbook***

The following procedure is adopted as an orderly process for the initiation and consideration of amendments to the *Faculty Handbook*.

##### **1.3.2**

#### **Proposed Amendments to the *Faculty Handbook***

Proposals for revising the *Faculty Handbook* can be made by the Board of Trustees, proposing agencies of the faculty, administrative officers or ten (10) voting members of the faculty members by petition; said proposals are to be forwarded to the faculty moderator with a copy to the academic vice president's office not fewer than eight days prior to the meeting. Normally, substantive *Faculty Handbook* amendments will be presented at a faculty meeting but not voted on until the following meeting. In the case of editorial changes, the moderator may call for vote after the initial discussion. It is recommended that:

- a. Proposals be made in the form of texts intended to replace, in whole or in part, some current expressions of the *Faculty Handbook*; the document will be titled beginning with the section number, section name, date and an indication of either the draft number or the final proposal for vote;
- b. A particular proposal contains no more than one alteration of substance;
- c. A brief explanation of the reason(s) for proposing the revision accompanies the proposal.
- d. Subsequent updates or amendments to proposals after faculty meeting discussion will be titled with the same name and indicate whether the update is final and should be submitted to the moderator, with a copy to the academic vice president's office, at least eight days prior to the faculty meeting at which they are to be considered.

##### **1.3.3**

#### **Role of the President**

- a. Proposals approved by the president and the faculty in a timely manner shall be submitted by the president to the Board of Trustees prior to the appropriate meeting of the Board of Trustees.
- b. Should the president disagree with a faculty action, the procedure described in "Mode of Conducting Business, section 7" of these Bylaws shall be followed.

### **1.3.4**

#### **Board of Trustees Approval**

- a. Before definitive action on revision proposals, the Board of Trustees may commission a subcommittee of its members to meet with the president, the academic vice president and dean of faculty, and the Executive Committee of the Faculty to discuss final adjustments in the revised texts.
- b. The revision process is concluded in accordance with the action of the Board of Trustees. This action is either an approval or a rejection of the proposed revision.

### **1.3.5**

#### **Emergency Procedure**

When the president, after consultation with the faculty moderator, determines that, in the best interests of the college, modification of the *Faculty Handbook* is necessary, the president may petition the chair of the Board of Trustees for board review of a specific change at the next board or Executive Committee meeting. The Board of Trustees may accept or reject such a petition. The president shall communicate the decisions of the Board of Trustees to the faculty.

### **1.3.6**

#### **General Rules of Implementation**

- a. Any amendments of the provisions of the *Faculty Handbook* will take effect and be a part of the next offer of employment extended to any faculty member by the college. For faculty on contract periods other than the academic year, the amendment shall be effective for and incorporated into any offer of employment scheduled to commence after the beginning of the academic year next succeeding the academic year in which the amendment was adopted. Any grandfathering provision will be specific to a given policy and so noted. As employees of the college, faculty also receive and are bound by, the provisions of the *Employee Handbook*. Changes to the *Employee Handbook* may be effected at once by the directive of the president and/or Board of Trustees as appropriate. Such changes, however, may not be in substance inconsistent with provisions of the *Faculty Handbook*.
- b. All new members of the faculty shall receive a copy of the *Faculty Handbook* and the *Employee Handbook* that will apply during the offered contract term at the time of their initial appointment as a new faculty member. Continuing members of the faculty will receive an updated version of the *Faculty Handbook* and *Employee Handbook*, with current revisions, which will be available electronically.
- c. Proposals under discussion by the Board of Trustees have no status whatsoever, not even a promissory one, until final action by the board has been taken.



## 2.0

### **Faculty Employment Policies and Procedures**

This part contains the approved policies and procedures of Colby-Sawyer College concerning the terms and conditions of employment of the faculty of the college. This part is incorporated into the contract of employment of each faculty member, as are the provisions of the *Employee Handbook*. Where the terms and provisions of an individual contract of a faculty member are inconsistent with the general policies contained herein the provisions of the individual contract shall supersede and be communicated to the chairman of the Board of Trustees. Otherwise, the provisions of the *Faculty Handbook* and the *Employee Handbook* are legally binding on all parties for the specific period covered by a letter of appointment/contract. Should there be any misapplication or misinterpretation or violation of the specific provisions of this section the faculty member involved in such a situation may file a grievance against actions taken by a chair, academic vice president and dean of faculty, or other officer of the college under the Grievance Procedures found in this handbook.

Failure to meet any time limits established by these policies shall not be deemed to automatically grant a faculty member the personnel action contemplated by the process, and only an affirmative vote or other action by the college shall result in the requested action. Failure of the faculty member to meet his or her filing deadlines shall be an absolute bar to using the evaluation process unless waiver is granted in writing by the academic vice president and dean of faculty. If any provision of this part conflicts with state or federal law or regulation regarding employment, the provision of law shall take precedence.

## 2.1

### **Definition of Faculty, Faculty Rank and Faculty**

The faculty of the college shall consist of five distinct groups: ranked full-time faculty; ranked pro rata faculty; part-time per course adjunct faculty; special appointment faculty; and administrators with faculty rank, including professional librarians. Specific contract types and other specific contractual rights and responsibilities shall accrue to each specific group as defined in the *Faculty Handbook*. In particular, part-time per course adjunct faculty and special appointment faculty have limited rights and responsibilities; these are fully defined in this section and in the sections on “Evaluation” and “Separation.”

### 2.1.1

#### **The Ranked Faculty**

A ranked faculty member is a full-time or pro rata employee of the college who has been appointed to one of the four regular academic ranks: instructor, assistant professor, associate professor, or professor. A terminal degree or equivalency in the field of the teaching assignment is preferred. Evaluation of equivalency for the purpose of initial appointment shall be made by the academic vice president and dean of faculty in consultation with the chair.

### 2.1.2

#### **Full-Time Faculty**

A full-time faculty member:

- a. Ordinarily has full-time teaching duties or has teaching and other duties (e.g., research, academic administration, counseling) equivalent to a full-time teaching load; evaluation of

equivalency shall be made by the academic vice president and dean of faculty in consultation with the department chair;

- b. Fulfills the duties and responsibilities of a faculty member; and
- c. Holds academic rank.

### **2.1.3**

#### **Pro Rata Faculty**

Pro rata faculty are faculty members who are ranked and who are given an appointment equivalent to 12 or more credit hours in a year, but less than that of a full-time faculty member. They may be employed on annual or tenure contracts. Such pro rata faculty have pro rata contractual rights to promotion, tenure, sabbatical leave, and benefits as provided in the *Faculty Handbook*. They have, on a pro rata basis, responsibilities for advising, service on committees, and all other responsibilities of full-time faculty members as detailed in the *Faculty Handbook*.

### **2.1.4**

#### **Criteria for Appointment to Specific Ranked Faculty Status**

At the time of the initial appointment of a full-time or pro rata part-time faculty member, the academic vice president and dean of faculty, in consultation with the department chair, makes a judgment about rank, terminal degree for position, and prior years of teaching eligibility for promotion. Written copies of the decisions will be provided to the department chair involved, the individual involved, and the Faculty Personnel Committee. Thereafter, rank changes are subject to the section entitled "Promotion."

Throughout these sections on specific rank, a university of "recognized standing" shall mean a university accredited by one of the six regional accrediting associations, e.g. New England Association of Schools and Colleges (NEASC), or a recognized university of international standing. Rank is determined based on the criteria listed in the section entitled "Faculty Rank."

### **2.1.5**

#### **Types of Faculty Appointments**

#### **2.1.5.1**

##### **Tenure-Eligible Faculty Appointments**

Full-time and pro rata faculty appointments may be tenure-eligible or non tenure-eligible, to be determined at the point of hire.

#### **2.1.5.2**

##### **Non Tenure-Eligible Faculty Appointments**

#### **2.1.5.2.1**

##### **Visiting Faculty**

This title is assigned to faculty members hired full-time or pro rata at the appropriate faculty rank (instructor, assistant professor, associate professor, or professor) who are appointed for a limited period of time on an annual contract renewable for up to five years. The number of years for

which the position is renewable shall be agreed upon in writing between the visiting faculty member and the academic vice president and dean of faculty after consultation with the department chair. Faculty members in these positions are eligible to apply for promotion, although they are not eligible for tenure.

All such appointments are annual contracts for full or pro rata status. Appointment shall be by the president after recommendation by the department chair and the academic vice president and dean of faculty.

Any benefits in addition to the ones which accrue by virtue of their contract or academic status as provided in this *Faculty Handbook* must be agreed upon prior to appointment. A visiting faculty member may apply for a tenure eligible faculty position that becomes available and be considered for that position but has no right to be promoted into that position from the position of visiting faculty.

#### **2.1.5.2.2**

##### **Teaching Fellows**

This title is assigned to individuals who hold or are completing a terminal degree and who are appointed to teach and pursue other duties at the college for a limited period of time, such time to be agreed upon in writing between the teaching fellow and the academic vice president and dean of faculty after consultation with the department chair.

Appointments are normally  $\frac{3}{4}$  time pro rata (18 credits per year) annual contracts, renewable for up to three years. Appointment shall be made by the president after recommendation by the academic vice president and dean of faculty and department chair. Faculty members in these positions are not eligible for tenure or promotion.

Any benefits in addition to the ones which accrue by virtue of their contract or academic status as provided by this *Faculty Handbook* must be agreed upon prior to appointment. Besides their teaching duties, fellows are expected to advise students, serve on college committees and contribute to faculty governance. During the first year of the fellowship, the fellow will be exempt from committee work; in subsequent years, the fellow will participate in a limited number of committees. The fellow will be assigned a number of advisees as appropriate to the pro rata status. A teaching fellow may apply for a tenure-eligible faculty position that becomes available and be considered for that position but has no right to be promoted into that position from the position of teaching fellow.

- a. The fellow has voting rights at faculty, department, and committee meetings unless personnel issues are involved.
- b. The fellow will be evaluated annually by the department chair and the academic vice president and dean of faculty.
- c. The fellow will be assigned an experienced faculty mentor, who will assist the development of the fellow.

### **2.1.5.2.3**

#### **Adjunct (Part-Time Per Course) Faculty**

A part-time per course adjunct faculty member is usually a part-time temporary employee of the college.

Part-Time Per Course Adjunct Faculty:

- a. Usually have a teaching load of eight (8) credit hours or less;
- b. Usually have no other faculty duties;
- c. Possess an advanced degree;
- d. Always receive a term contract (see sections about Term Contracts and Annual Contracts);
- e. Receive limited, on-campus benefits; and,
- f. Do not accrue time towards tenure or sabbatical leave.

Part-time per course faculty are expected to be available at least one and one half hours per week for each course taught to advise students regarding their work.

### **2.1.5.3**

#### **Special Appointment Faculty**

##### **2.1.5.3.1**

#### **Professor Emerita/us**

- a. Eligibility - 12 years of distinguished service to Colby-Sawyer College.
- b. Procedure
  1. The academic vice president and dean of faculty, with the concurrence of the department chair and the president, makes a recommendation to the Board of Trustees.
  2. The academic vice president and dean of faculty notifies the faculty member of the action of the Board of Trustees.
- c. Benefits
  1. All library privileges given to other faculty;
  2. Admission to all college-sponsored co-curricular events at rates established for the college community;
  3. Participation in formal academic events;
  4. Use of college facilities as available;
  5. Use of the college dining room at meal rates established for the college community;
  6. Tuition-free admission to college courses when space is available;
  7. Nonvoting membership in the faculty of the college.

### **2.1.5.3.2**

#### **Affiliate Professor**

This is an honorary title which may be assigned to individuals who offer educational experience to the students of the college on a regular part-time basis off campus pursuant to an affiliation agreement. Such individuals are not employees of and have no contractual arrangements with the college, although they may receive an honorarium. Assignment of this title is made by the president after the recommendation by the department chair and the academic vice president and dean of faculty.

### **2.1.5.3.3**

#### **Scholar-in-Residence**

The college may appoint distinguished artists, writers, poets, scholars, practitioners, and executives to the special faculty status of scholar-in-residence. Such appointments shall be full-time or part-time depending on the needs of the college. The appointments are term contracts. The appointment of a scholar in residence does not prejudice the academic personnel rights of any other faculty member in respect to the contractual policies of this *Faculty Handbook*.

### **2.1.5.3.4**

#### **Staff with Faculty Rank**

Staff with specifically designated teaching responsibilities as part of their duties during the academic year will initially be appointed to a teaching rank consistent with the description in the section called “Criteria for Appointment to Specific Ranked Faculty Status.” Such personnel will be reviewed for teaching performance, and they are eligible for promotion. Evaluation of teaching performance will follow the applicable criteria in the section called “Teaching and Advising.” Staff whose teaching comprises more than 50% of their overall duties will follow the promotion and review schedule of a full-time faculty member.

For staff whose teaching responsibilities comprise 50% or less of their overall duties, promotion eligibility will parallel that of a half-time, pro-rata faculty member. The first teaching review will occur in the second year of service; subsequent reviews will occur at least biannually, on a schedule determined in consultation with the department chair. The review process will be with the department chair only, unless performance enhancement plans are needed, in which case the academic vice president and dean of faculty may participate in the review.

## **2.1.6**

### **Types of Faculty Contracts and Contract Policies**

#### **2.1.6.1**

##### **Contract Types**

##### **2.1.6.1.1**

###### **Term Contracts**

Term contracts at the college are given to part-time per course adjunct and special appointment faculty members, and are limited to the term of employment outlined in the letter of appointment. Term contracts are not tenure-eligible and do not confer upon a faculty member any expectation of or entitlement to continued employment.

Term contracts may also be used with full-time and pro rata ranked faculty in special circumstances for replacements for one semester or year for faculty on leave on a full-time or pro rata basis.

All Term Contracts are issued on an individual basis as the necessity arises.

#### **2.1.6.1.2**

##### **Annual Contracts**

Annual contracts at the college are given to ranked faculty members either initially or on a renewable basis. Annual contracts can be held for up to six years for faculty in tenure-eligible positions and up to five years for faculty in visiting faculty positions. Faculty members must apply, in their sixth year of service, for tenure depending on institutional review criteria found in this handbook or he or she must apply under the provisions of Extension of the Tenure Review Period.

Annual contracts are subject to non-renewal by the college with notice as provided for in the section called "Separation" of this *Faculty Handbook*.

#### **2.1.6.1.3**

##### **Tenure and Tenure-Eligible Contracts**

The purpose of tenure and tenure-eligible contracts is two-fold:

- a. To attract to the college and to keep on the faculty those individuals who shall make a strong, positive, and enduring contribution to the total educational process of the college;
- b. To provide the professional and personal security requisite for academic freedom, productive work, and the satisfaction of an academic career.

#### **2.1.6.2**

##### **Locus of Appointments**

All faculty appointments to annual or tenure contracts have as the locus of their appointment the department of the college which is stated in their annual letter of appointment.

Faculty members teaching in interdisciplinary programs shall have their locus in one of the academic departments.

#### **2.1.6.3**

##### **Issuance and Receipt of Contract**

All ranked full-time and pro rata faculty annual and tenure appointment contracts for any academic year will be issued on or before May 1, and be returned on or before Commencement Day. If the contract offer is not accepted on or before Commencement Day, or a special arrangement made in writing with the academic vice president and dean of faculty, the offer will automatically expire. Any salary increments will be announced no later than October 31 of the new contract year.

### **2.1.7**

#### **Search and Appointment Policies and Procedures**

The quality of initial appointment is vital to the quality of teaching and scholarship to which the college is committed. The following statements of policy for recruitment to the faculty are intended to aid chairs of departments, the academic vice president and dean of faculty, the president, and others who are involved in making initial appointments. More detail is available through the Human Resources Office.

The college gives notice of employment opportunities by appropriate publication and follows regular procedures in the evaluation of applicants. Applications from members of minority groups are encouraged.

#### **2.1.7.1**

##### **Authority to Hire**

Sole authority to hire faculty members is vested in the president. This authority is customarily exercised through the academic vice president and dean of faculty by procedures established to assure adequate consultation with the faculty and full compliance with college policies and state and federal statutory requirements regarding non-discrimination.

#### **2.1.7.2**

##### **Search Process**

Search Process for full-time faculty:

- a. The department chair confers with the academic vice president and dean of faculty on the position description, including rank and recommended salary range.
- b. The academic vice president and dean of faculty and the department chair confer to determine the membership of the Search Committee, content and placement of an advertisement and other means of publishing the opening. The search process will follow institutional guidelines set forth at the initiation of the search process by the Human Resources Office. Final applicants who are being interviewed will be required to teach a class or make a presentation.
- c. After evaluating the credentials of all candidates, the Search Committee recommends to the academic vice president the names of applicants to be invited to the college for interviews. Following the interviews, the Search Committee makes recommendations with reasons to the academic vice president about the candidate(s) suitable for hire. In the case of a difference of judgment, the academic vice president will confer with the Search Committee. The academic vice president forwards a final recommendation to the president.

#### **2.1.7.3**

##### **Determination of Initial Academic Rank, Terminal Degree, and Years of Teaching Experience**

Initial rank shall be determined according to the *Faculty Handbook* except that a person who held rank at another institution may be awarded corresponding rank to that held at the other institution at the discretion of the president, after review and recommendation by the academic vice president and dean of faculty.

Years of prior teaching experience and numbers of years at each rank will be determined at the time of hire and recorded in the faculty member's file.

- a. Full-time years at a particular rank at an accredited institution of higher education will be credited toward promotion at the college;
- b. A full-time Colby-Sawyer teaching equivalency will be determined for part-time teaching at the college level.

The terminal degree for the position will be determined at the time of hire and the faculty member will be informed in writing of this decision. The academic vice president and dean of faculty may consult experts in the discipline, accrediting bodies, and professional organization guidelines in making the determination.

#### **2.1.7.4**

##### **Faculty Appointment**

All appointments of ranked faculty are made by the president after recommendation by the academic vice president and dean of faculty and the respective Search Committee and department.

##### **2.1.7.4.1**

##### **Initial Appointment of Full-Time and Pro Rata Ranked Faculty**

All initial appointments are annual contracts. The rank offered new faculty members must be in accord with the requirements of that rank.

##### **2.1.7.4.2**

##### **Appointment of Adjunct (Part-Time Per Course) Faculty**

Part-time per course adjunct faculty appointments are made by the academic vice president and dean of faculty, with responsibility delegated to the academic dean, after recommendation by the academic dean and after consultation with the appropriate chair. Appointments to part-time per course adjunct faculty, and in some circumstances to special appointment faculty, are dependent on adequate enrollment in the faculty member's course, as determined by the academic dean.

#### **2.1.8**

##### **Personnel Records**

Because appointment as a ranked faculty member may lead to a continuing relationship with the college, it is essential that there be adequate and detailed documentation to support every action involving each individual, especially those actions pertaining to appointment, promotion, tenure, layoff, and dismissal.

##### **2.1.8.1**

##### **Official Personnel File, Full-Time and Pro Rata Faculty**

For administrative efficiency, part of the Personnel File of a faculty member may be kept in the office of the academic vice president and dean of faculty and part may be kept in the Human Resources Office.



Basic documents to be found in each faculty member's file:

- a. Letters of application (originals);
- b. Appointment and Acceptance letters (originals);
- c. Hiring transaction documents;
- d. Performance reviews and evaluations;
- e. Payroll documents;
- f. Current official transcripts and resume;
- g. Salary and benefit data;
- h. Student evaluation summaries
- i. Such other materials as are required by law or regulation or by college policy

This file is available on a "need to know" basis only to the Board of Trustees, legal counsel, the president, the academic vice president and dean of faculty, the vice president for administration, the Faculty Personnel Committee, the Human Resources Office, or others within the institution specifically designated by the signature of the president. Requests for the file shall be submitted to the academic vice president and dean of faculty and/or president. The individual faculty member shall have access to his or her personnel file or copies of the file as required by law in New Hampshire RSA 275:56 and LAB 802.09 as they may be amended.

The official personnel file will be kept in strictest confidence and will be available for confidential use only to the individuals indicated above and to federal and state agencies as outlined below. However, for a valid reason, the faculty member may authorize in writing access to his or her file by a person not indicated above.

Further, the college may permit access to and copying from such files pursuant to lawful requests and identification of federal or state agencies relevant to investigations, hearings, or other proceedings pending before such agencies or the courts.

The faculty member may obtain copies of any materials in the official personnel file. Any such copies will be made by a member of the academic vice president and dean of faculty's staff or the staff of the Human Resources Office.

#### **2.1.8.2**

##### **Official Personnel File, Adjunct (Part-Time Per Course) Faculty**

The academic dean's office will maintain a separate file for each of these faculty, which will contain:

- a. A copy of the faculty member's term contracts;

- b. The faculty member's current credentials, transcripts, and resume;
- c. Copies of any faculty evaluations;
- d. Personnel information;
- e. Student evaluation summaries;
- f. Such other materials as are required by law or regulation or by college policy.

Access to such files is as defined in the section called "Official Personnel File."

### **3.0**

#### **Faculty Evaluation and Development Policies and Procedures**

The evaluation process at the college is a means by which members of the teaching faculty can obtain constructive and balanced information which will enable them better to fulfill their academic responsibilities. An important goal of the evaluation process is to use a developmental approach to assist faculty to make positive changes over their time at the college.

Members of the teaching faculty receive regular evaluation of the performance of their faculty assignments and on progress made in their program of professional development. Evaluation materials should build on prior years' evaluations and need not require the development of a completely new set of materials in any given year.

Any exceptions to the deadlines for materials must be approved by the academic vice president and dean of faculty. It is strongly recommended that drafts of self-assessment portfolios be given to the department chair in advance of these due dates so that the department chair can assist the faculty member in developing a complete and compelling portfolio.

If a due date falls on a weekend or holiday, the materials are due the first class day following the due date.

### **3.1**

#### **Faculty Rights and Responsibilities**

##### **3.1.1**

##### **Academic Freedom**

It is fundamental to the health of an academic institution and ultimately to the health of society at large that individual persons and groups of persons exercise their responsibility and freedom to search for the truth and to speak the truth as it is discovered. In a collegial community, the Board of Trustees represents the institution, and the persons of the faculty, administration, and the student body bears mutual responsibility to exercise professional competence and to extend to one another the trust and respect which foster an environment for the exercise of academic freedom.

The college endorses the principles of academic freedom. As a learned person and as a teacher, each faculty member must recognize that people will judge both the profession and the institution by what is said in the classroom and in public. The college will honor the following specific statements on academic freedom and on professional ethics as described in the 1940 Statement, and amended in 1990, by the American Association of University Professors:

“Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.

“Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its

teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

- a. "Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- b. "Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.
- c. "College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution."

### **3.1.2**

#### **Code of Professional Ethics**

Although no set of rules or professional code can either guarantee or take the place of the faculty's personal integrity, Colby-Sawyer College believes that the "Statement on Professional Ethics," a revision of a statement originally adopted in 1966, was approved by the Association's Committee on Professional Ethics, adopted by the Association's Council in June 1987, and endorsed by the Seventy-Third Annual Meeting, may serve as a reminder of the variety of obligations assumed by all members of the academic profession. The college endorses the Association's "Statement:"

- a. "Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
- b. "As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

- c. “As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
- d. “As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
- e. “As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.”

### **3.1.3**

#### **Violations of Faculty Rights, Academic Freedom, and Professional Ethics**

Disputes involving a charge that a faculty member’s rights or academic freedom have been abrogated or that professional ethics have not been maintained are to be settled through the established “Faculty Grievance Procedure.” While affirming academic freedom as a right, the college recognizes that, in some circumstances, the questions of academic freedom become enmeshed in questions of professional incompetence or irresponsibility. In the effort to distinguish between these sometimes confused issues, the guiding principle is that charges of professional incompetence or irresponsibility shall not be used to limit academic freedom, nor shall appeals to academic freedom be acceptable as a shield for professional incompetence or irresponsibility.

### **3.1.4**

#### **Faculty Responsibilities**

Within its means, the college seeks to develop the abilities of individual faculty members in order to promote the continuing strength of the total faculty. To this end the college commits itself:

- a. To engage the ablest candidates available for faculty positions, retaining those demonstrating the highest degree of competence;
- b. To support the efforts of faculty to develop their professional abilities;

- c. To improve the effectiveness of the college as an educational community;
- d. To recognize positive contributions through salary increments, promotions in rank, and the granting of tenure.

Faculty members as well have certain obligations:

- a. To maintain and develop professional competency in the areas described in the section entitled “Evaluation Criteria for Faculty Performance and Development.”
- b. To maintain academic honesty. Early in the term each professor should interpret for students the concept of academic integrity as applied to all course work. If a professor has evidence that a student is guilty of cheating or plagiarizing, that student shall be reported to the academic dean. Faculty members must take all reasonable steps to prevent cheating by their students on examinations or quizzes.
- c. To maintain appropriate standards of writing. Each professor should be familiar with both the general standards of English composition and accepted conventions for presentation of research and should explain how these standards apply to required written work. The failure of a student to comply with these standards should be reflected in the professor’s evaluation of the student’s work.

### **3.1.5**

#### **Ownership of Intellectual Property and Course Materials**

The following policy applies to all full and part-time faculty at Colby-Sawyer College.

Definitions:

- a. Intellectual Property: As used in this provision, “intellectual property” includes inventions, discoveries, creations, and authored works which may be protected legally with patents and copyrights, and physical and tangible expressions of such work.
- b. Scholarly Works: As used in this provision, “scholarly works” includes traditional publications, books, case studies, manuscripts, articles, etc.
- c. Traditional Course Material: As used in this provision, “course material” includes those elements that constitute an academic course delivered in traditional classroom environment and is developed by the faculty member for his or her own course, including but not limited to syllabi, course descriptions, outlines, course and lecture notes, testing materials, homework assignments, laboratory materials, study guides, and content.
- d. Non-Traditional Course Material: As used in this provision, “non-traditional course material” includes those elements that constitute a course developed under the direction of Colby-Sawyer College for presentation in an on-line, distance education, or other format designed to be presented by different faculty members in a consistent manner, and may include all of the elements contained in definition of Traditional Course Material above.

Ownership:

- a. Faculty members who develop intellectual property, scholarly works or traditional course material own the rights to that material, and it is their responsibility to take such action as is required to protect such works legally. Colby-Sawyer College has no claim to any such materials, absent a contractual agreement to the contrary signed by both parties. Colby-Sawyer College shall have the right to review such materials as part of its faculty evaluation process, and to display, duplicate, create derivative works or distribute such materials with appropriate attribution for its educational, research and publicity purposes.
- b. Non-traditional course materials, developed under the direction of Colby-Sawyer College for its on-line or distance education programs, shall remain the property of Colby-Sawyer College which shall have the sole right to protect such materials legally.
- c. In the event faculty members use materials to which they have rights under the paragraph above, which have been developed by them in traditional classes, in on-line or distance education courses developed under the direction of Colby-Sawyer College, the faculty members retain the right to use such materials in traditional courses, and Colby-Sawyer College shall have the right to own and protect the materials to the extent they have become part of the on-line or distance education courses.

### 3.2

#### **Faculty Evaluation: Sequence of Evaluation Reviews**

##### 3.2.1

###### **First Year Review**

- Due: February 5 to department chair; February 20 to academic vice president and dean of faculty.
- Include: Faculty member gathers a written classroom observation from the chair, SIR II evaluations, grade distributions, syllabi, list of yearly activities, and other relevant evidence as identified in the Faculty Handbook section called Teaching Effectiveness; and prepares a two page reflective narrative in executive summary format on the first semester's teaching identifying what went well, what went less well, and plans for future semesters.
- Process: The faculty member meets with the department chair to discuss teaching and advising and potential service opportunities for the future, guided by the Year 1 Developmental Review Checklist located on the [Faculty Personnel Committee](#) SharePoint site. The department chair documents strengths, areas for improvement, and goals in teaching and advising on the form, and submits it to the academic vice president and dean of faculty. This form, along with the faculty member's executive summary will become part of the individual's personnel file. In all cases, the review checklist will be reviewed by the academic vice president and dean of faculty. If the review of the faculty member is negative or performance concerns are identified by the chair, a full review of the materials with the academic vice president and dean of faculty will be initiated. Additionally, a faculty member may make a formal request, with substantive reason, to the academic vice president and dean of faculty for a full review of the materials. This request must be made within 10 working days upon receipt of the chair's letter.

### 3.2.2

#### **Second Year Review**

- Due: November 1 to department chair; November 18 to academic vice president and dean of faculty.
- Faculty member gathers materials similar to First Year Review and prepares an executive summary narrative that addresses how the criteria for teaching and advising are being met, and outlines service interests and scholarly plans. The narrative should also respond to previously identified points for improvement and goals from the First Year Review.
- Process: The faculty member meets with the department chair to discuss teaching, advising and potential service opportunities for the future, in accordance with the Year 2 Developmental Review checklist form located on the [Faculty Personnel Committee](#) SharePoint site. The department chair documents strengths, areas for improvement, and goals in teaching and advising, service, and scholarship on the form, and submits it to the academic vice president and dean of faculty. This form, along with the faculty member's narrative will become part of the individual's personnel file. In all cases, the review checklist will be reviewed by the academic vice president and dean of faculty. If the review of the faculty member is negative or performance concerns are identified by the chair, a full review of the materials with the academic vice president and dean of faculty will be initiated. Additionally, a faculty member may make a formal request, with substantive reason, to the academic vice president and dean of faculty for a full review of the materials. This request must be made within 10 working days upon receipt of the chair's letter.

### 3.2.3

#### **Third Year Review**

- Due: February 20 to department chair and department; March 10 to academic vice president and dean of faculty.
- Include: A self-evaluation narrative, focusing on teaching and advising, scholarship, service, and a professional development plan. Discuss what further professional development opportunities would be of particular interest.
- Process: The department chair, in consultation with the faculty member, appoints a subcommittee of three faculty colleagues to provide written classroom observations, syllabus reviews, and make a recommendation to reappoint. Where possible there should be a tenured and a non-tenured person on the committee. The appointment should be made with an eye toward disciplinary specialty and workload of department members. The committee appointment should occur two semesters prior to the review. The faculty member meets with the department chair and then with the chair and the academic vice president and dean of faculty. The department chair and the academic vice president and dean of faculty write letters detailing their assessment of the performance of the faculty member.

It is the responsibility of the appropriate department subcommittee to conduct a formal review of all faculty members in their third year of full-time teaching for the college. Prior to the beginning of the fall term each year, all faculty will be notified by the academic vice president and dean of faculty of their evaluation status for the academic year.



### 3.2.3.1

#### Process for Third Year Review

- a. The faculty member will submit a portfolio to his or her department chair and department subcommittee for evaluation.
  1. The portfolio, including letters of recommendation from the department chair and the faculty subcommittee appointed for the review, is sent to the academic vice president and dean of faculty's office after the department recommendation has been made.
  2. Any exceptions to the deadlines for materials must be approved by the academic vice president and dean of faculty. It is strongly recommended that drafts of self-assessment portfolios be given to the department chair in advance of the due date in the section called Third Year Review so that the department chair can assist the faculty member in developing a complete and compelling portfolio.
- b. The portfolio for the third year review will include a narrative which responds to the evaluation criteria for faculty performance and development. The faculty member should include a current curriculum vitae, and evidence of teaching excellence and advising as outlined in *Faculty Handbook* section Evaluation Criteria and subsections Teaching Effectiveness, Advising, Scholarship and Creative Work, Service, and Individual Professional Development Plan. A third year checklist is posted on the Faculty Personnel Committee myCSC site designed to assist faculty in assembling the portfolio.
- c. A teaching observation letter from the current department chair and each member of the department review subcommittee are part of the required evidence in the portfolio. Teaching observations should occur within the semester of application or the two previous semesters.
- d. Departmental Procedures: Each department in the third year of a faculty member's service will make a recommendation regarding reappointment to the academic vice president and dean of faculty. After receiving the faculty member's materials, the department chair convenes a meeting with the appointed department subcommittee to discuss the portfolio. The faculty subcommittee members vote on reappointment. The department chair does not vote. The subcommittee chooses a member other than the chair to write a letter reflecting the subcommittee discussion. This letter must include both strengths and areas for improvement. The letter is signed by all members of the subcommittee indicating that the letter accurately reflects the discussion. The letter should contain the views of all, and disclose the numerical results of the vote if not unanimous. The letter is forwarded to the academic vice president and dean of faculty and to the faculty member. The department chair writes a separate letter with his or her recommendation. The letter is forwarded to the academic vice president and dean of faculty and the faculty member. The department chair performs the role of the chair described above regardless of his or her contract status.
- e. If the department chair is the individual under review, the academic vice president and dean of faculty will appoint a tenured department chair early in the spring term of the preceding year to serve as interim chair for the recommendation process. This interim chair will schedule and conduct the department subcommittee recommendation meetings. The interim chair will have access to all yearly evaluations completed on the chair and will write the chair letter for the department. Otherwise, the departmental process remains the same.

- f. The academic vice president and dean of faculty will arrange a conference with the faculty member and the chair to discuss the third-year review.

### **3.2.4**

#### **Fourth Year Review**

This review will only occur when there are substantial issues for improvement identified through the third year review.

- Due: March 15 to department chair; March 30 to academic vice president and dean of faculty.
- Include: A letter describing how the issues identified for improvement have been addressed.
- Process: The department chair meets with the faculty member and writes a letter in response to the materials provided and the meeting. The faculty member and department chair meet with the academic vice president and dean of faculty, who writes a letter to the faculty member, with a copy to the chair, summarizing the meeting.

### **3.2.5**

#### **Fifth Year Review**

This review should be considered a pre-tenure conference.

- Due: October 15 to department chair; November 5 to academic vice president and dean of faculty.
- Include: Faculty member gathers materials similar to Second Year Review (course syllabi, SIR II's, grade distribution, professional development plan and list of yearly activities) and prepares an executive summary narrative that addresses how the criteria for teaching and advising are being met, describes service and scholarship, and outlines a professional development plan. The narrative should also respond to previously identified points for improvement from the Third Year Review. An outline of the portfolio the faculty member intends to submit in the sixth year is required.
- Optional: The faculty member is encouraged, but not required, to prepare a draft portfolio for review by the department chair or Director of the Teaching Enrichment Center.
- Process: The fifth year developmental review focuses on both the faculty member's performance and a discussion of the portfolio for the tenure process. The faculty member meets with the department chair for a developmental review guided by the Year 5 checklist located on the [Faculty Personnel Committee](#) SharePoint site. The department chair documents the discussion on the form, which is submitted to the academic vice president and dean of faculty. The review is designed to identify areas for improvement necessary to support a successful tenure review. This checklist form, along with the faculty member's executive summary narrative will become part of the individual's personnel file. In all cases, the checklist form will be reviewed by the academic vice president and dean of faculty. If there are substantial areas for improvement identified by the chair, the academic vice president and dean of faculty meets with the faculty member and the department chair and writes a letter to the faculty member, with a copy to the chair, detailing the areas for improvement. Additionally, a faculty member may make a formal request, with substantive reason, to the academic vice president and dean of faculty for a full review of the portfolio. This request must be made within 10 working days upon receipt of the chair's letter.

### 3.3

#### Tenure and Promotion Procedures

- a. The application for tenure and promotion will include a narrative which responds to the evaluation criteria for faculty performance and development contained in the *Faculty Handbook* section Evaluation Criteria and subsections Teaching Effectiveness, Advising, Scholarship and Creative Work, Service, and Individual Professional Development Plan. Upon the applicant's request, the academic vice president and dean of faculty's office will prepare an assessment file containing copies of evaluations since the last successful application for promotion or since being hired by the college. This will include letters from the department, department chair, Faculty Personnel Committee (if applicable), and the academic vice president and dean of faculty, formal student evaluations, and the faculty data sheet indicating years of service and eligibility for application. The faculty member applying is responsible for obtaining this file and including it in his or her portfolio.
- b. Required evidence includes the following: a teaching observation letter from the current department chair and three letters of teaching observation provided by colleagues of the applicant's choosing, two of which must be from within the applicant's department, unless circumstances preclude it. In the case of promotion only, the teaching observations are performed by the department's promotion subcommittee members. Teaching observations should occur within the semester of application or the two previous semesters. Additional appropriate supporting evidence is specified on the tenure and promotion checklists located on the [Faculty Personnel Committee](#) SharePoint site.
- c. Departmental Procedures  
After receiving the faculty materials, the department chair convenes a meeting to discuss the application. Having established procedures for recommendation within the department, the department chair will seek the recommendation of the department on the application for tenure and/or promotion, and in addition, will give his or her own recommendation concerning the application.

Participants in the department discussion for tenure include:

1. all full-time and pro rata tenured and tenure-eligible department members; and
2. all visiting faculty and teaching fellows as defined in the section called "Non Tenure-eligible Faculty" of the *Faculty Handbook* with a half-time appointment or more.

The candidacy is discussed and a secret ballot is taken. Participants vote on the candidacy as follows:

1. all full-time and pro rata department members after 12 months from the date of hire in that capacity;
2. the chair does not vote; and
3. teaching fellows do not vote.

Participants in the discussion for promotion include:

1. a department subcommittee, appointed by the department chair, in consultation with the faculty member, according to the same process and timeline as the third year review; and
2. the chair does not vote.

The recommendation for promotion is made by the department subcommittee, following the departmental procedures described in the process for third year review.

For promotion applications only, the department chair will inform the applicant in writing of his or her own recommendation and that of the department. Upon this notification, an applicant may withdraw his or her application or may proceed with the application process. If the applicant chooses to withdraw, there is no record of the application and the process is ended. The decision to withdraw must be made no later than 48 hours prior to the deadline for submission of the material to the Faculty Personnel Committee.

For both tenure and promotion applications, the department chooses a faculty member other than the chair to write a letter reflecting the departmental discussion. This letter must include both strengths and areas for improvement. The letter is signed by all members of the department who attended the meeting indicating that the letter accurately reflects the department discussion. The letter should contain the views of all, and disclose the numerical results of the vote if not unanimous. The letter is forwarded to the Faculty Personnel Committee with a copy to the applicant and the academic vice president and dean of faculty.

The department chair writes a separate letter with his or her recommendation. The letter is forwarded to the Faculty Personnel Committee with a copy to the applicant and the academic vice president and dean of faculty.

The department chair performs the role of the chair described above regardless of his or her contract status.

If the department chair is the candidate applying for tenure and/or promotion, the academic vice president and dean of faculty, in consultation with the Faculty Personnel Committee, shall appoint a tenured department chair early in the spring term of the preceding year to serve as interim chair for the recommendation process. This interim chair will schedule and conduct the department recommendation meetings. The interim chair will have access to all yearly evaluations completed on the chair applying for promotion and will write the chair letter for the department. Otherwise, the departmental process remains the same.

- d. The Faculty Personnel Committee considers applications for tenure and/or promotion and makes recommendations to the academic vice president and dean of faculty with a copy to the president. A copy of the Faculty Personnel Committee's letter will be provided to the applicant by the academic vice president and dean of faculty upon the president's recommendation to support or deny the application.
- e. The Faculty Personnel Committee may ask the faculty member's department chair to meet with the Faculty Personnel Committee to discuss the tenure and/or promotion application.
- f. The academic vice president and dean of faculty considers tenure applications and proposed advancements in rank and makes recommendations to the president with a copy to the Faculty Personnel Committee.

- g. Should the recommendation of the Faculty Personnel Committee and that of the academic vice president and dean of faculty differ, the Faculty Personnel Committee will confer with the academic vice president and dean of faculty. A written record of the conference shall be forwarded to the president.
- h. For Tenure: The president, acting on the recommendations of the Faculty Personnel Committee and the academic vice president and dean of faculty, makes a determination to support or deny tenure and presents this recommendation to the Board of Trustees.

For Promotion: The president, acting on the recommendations of the Faculty Personnel Committee and the academic vice president and dean of faculty, makes a determination to support or deny a promotion in rank. If the president supports a promotion in rank, he or she presents this recommendation to the Board of Trustees. If the president does not support a promotion in rank, the review is completed, and the president notifies the applicant, the academic vice president and dean of faculty, the Faculty Personnel Committee, and the department chair. The Board of Trustees will be notified that there has been an unsuccessful application.

- i. Upon the president's presentation of a recommendation regarding tenure and/or promotion, the Board of Trustees, acting on this recommendation and receiving the recommendations of the Faculty Personnel Committee and the academic vice president and dean of faculty as information, makes the decision to grant or deny tenure and/or promotion. The president then conveys the action of the Board of Trustees to the applicant, the academic vice president and dean of faculty, the Faculty Personnel Committee, and the department chair.

### **3.3.1**

#### **Tenure Review (Sixth Year)**

This is a review for tenure and should follow procedures contained in the section called "Tenure and Promotion." This review period may be extended under the provisions of "Extending the Tenure Review Period."

- Due: Notification of intent to apply is due to the chair of the Faculty Personnel Committee, the respective department chair, and the academic vice president and dean of faculty by December 1. Application with supporting evidence is due by February 1 to department chair and by February 21 to the chair of the Faculty Personnel Committee with the recommendations and letters from the department and department chair.

Faculty who have come to Colby-Sawyer with tenure from another institution and who are in a tenure-eligible position may choose to apply for tenure as early as the third year. If the faculty member so chooses, during the faculty member's first year, the department chair and academic vice president and dean of faculty will review the teaching effectiveness of the new faculty member and will follow procedures listed above for first-year faculty. During the second year, a substantive review (similar to the third year review of a tenure-eligible faculty member, as described in the section called "General Policies for Third-Year Review") will be held in order to prepare the faculty member for the tenure application review, which will occur in the third year.

### **3.3.1.1**

#### **General Policies and Guidelines**

- a. Ranked faculty with a terminal degree or its equivalent who are under an annual tenure-eligible contract must apply for tenure in their sixth year of service, unless they have been granted an extension of the tenure review period under those provisions.
- b. After receiving the notification from the academic vice president and dean of faculty of all individuals eligible and/or required to apply for tenure, the Faculty Personnel Committee will send the checklist detailing the process for preparing the application to the applicant and the department chair.
- c. Ranked faculty who have come to Colby-Sawyer in a tenure-eligible position after having received tenure at an accredited baccalaureate institution are eligible to apply for tenure during their third year of service at Colby-Sawyer.
- d. Recommendations regarding tenure at all levels of the review process shall be based on demonstrated excellence in the criteria in the section entitled “Evaluation Criteria for Faculty Performance and Development” and capacity for growth demonstrated during the pre-tenure period.
- e. A decision to grant tenure or to discontinue service must be made no later than one week after spring commencement in the year of tenure application.
- f. The subsequent, seventh, year must be either a terminal contract year or the first year of the tenure contract.

### **3.3.1.2**

#### **Extending the Tenure Review Period**

Ranked, non-tenured faculty members are eligible to request an extension of the tenure review period for tenure review in the event that life circumstances may impede progress toward achieving tenure. The faculty member should forward the request in writing to the academic vice president and dean of faculty as soon as possible once the faculty member is aware of the relevant circumstances. The academic vice president and dean of faculty will inform the faculty member in writing of a decision regarding the request for extension.

If the extension is approved, existing academic standards and review criteria will apply to the faculty member’s future tenure decision. Extension of the tenure review period will accordingly revise the faculty member’s schedule for promotion, sabbatical eligibility, and any other event determined by service time. An extension of one year may be granted for any single request, with no more than two years’ total extension during the pre-tenure period.

Reasons for extending the tenure review period include, but are not limited to, the following circumstances:

- a. childbirth or adoption;
- b. responsibility for the care of an elder, parent, dependent, spouse, or domestic partner;

- c. death of a parent, child, dependent, spouse, or domestic partner;
- d. prolonged physical or mental illness;
- e. military service or obligations; or
- f. legal responsibilities, such as estate or divorce settlements.

### **3.3.2**

#### **Promotion Review Process**

A review for promotion follows procedures contained in the section called Process for Third Year Review with a department subcommittee appointed to conduct the review and recommendation for promotion.

- **Due:** Notification of intent to apply to the chair of the Faculty Personnel Committee, the respective department chair, and the academic vice president and dean of faculty by May 1. Application with supporting evidence due by October 1 to the department chair and by November 1 to the chair of the Faculty Personnel Committee with the recommendations and letters from the department and department chair. The review subcommittee must hold its meeting by October 26.

The chair is to visit the classrooms of the non-tenured department members during the appropriate review years. The academic vice president and dean of faculty will be responsible for making sure that an evaluation is done, reviewing these evaluations, and ensuring that they are included in the appropriate files.

Formal evaluations by the Faculty Personnel Committee are carried out before promotion in rank, and before the granting of tenure. Processes for these formal evaluations are detailed in the section called Tenure and Promotion. Upon resolution of the application, the portfolio will be returned to the applicant by the academic vice president and dean of faculty; the narrative will be stored electronically in the faculty member's file held by that office.

#### **3.3.2.1**

##### **General Policies and Guidelines**

- a. **Evidence of meeting criteria:** A faculty member seeking promotion must meet the published criteria for the desired rank and undergo evaluation (see sections called Criteria for Appointment to Specific Ranked Faculty Status and evaluation criteria for faculty performance and development contained in the *Faculty Handbook* section named Evaluation Criteria and subsections Teaching Effectiveness, Advising, Scholarship and Creative Work, Service, and Individual Professional Development Plan) and must supply appropriate supporting evidence with the application for promotion (see the checklist for promotion located on the [Faculty Personnel Committee](#) SharePoint site).
- b. Faculty who have not attained associate professor status at the time of application for tenure will have a promotion review occur at the same time as the tenure review. The deadlines for the tenure review process will apply in these cases.

- c. The promotion for a successful applicant takes effect at the beginning of the next contract year.

### **3.4**

#### **Post Tenure Review**

In the fifth year after awarding tenure and every seventh year thereafter, each faculty member participates in a post-tenure evaluation process that is both summative and formative. The post-tenure evaluation takes place during the fall term and is completed by December.

This timetable will be followed except that faculty may request earlier evaluation to have the process coincide with an application for promotion or sabbatical leave, or in the case of a concern about the faculty member's performance.

#### **3.4.1**

##### **Procedures for Post Tenure Review**

In the beginning of the fifth year post tenure, the faculty member updates his or her professional plan and vitae and addresses continued effectiveness in teaching and advising, scholarship, and service to the college. In addition, in consultation with internal or external colleagues selected by the faculty member and the department chair, the faculty member prepares a professional development plan addressing plans for teaching and advising, scholarship, and service over the next review period.

The faculty member and the department chair have a detailed discussion focusing on the prepared materials and the faculty member's goals for the next seven years. An additional purpose of this meeting is to discuss the ways the college may be useful to the faculty member in achieving his or her professional goals. If the faculty member undergoing review is a department chair, the discussion is held with a tenured chair from another department who is appointed by the academic vice president and dean of faculty.

The department chair prepares notes from the conversation which are reviewed by the faculty member. The notes are forwarded to the academic vice president and dean of faculty. At this meeting, the faculty member receives notification from the department chair either that the review has resulted in a recommendation to the academic vice president and dean of faculty that the faculty member's work be affirmed, or a recommendation that a full review is necessary because serious performance issues have been identified. The academic vice president and dean of faculty then writes a letter with a copy to the department chair either affirming the faculty member's work or establishing a timetable and focus for a substantive performance review. Additionally, this letter will address the professional development plan and ways the college may be useful to the faculty member in working towards the proposed plan. If serious problems are identified, the *Faculty Handbook* describes the process for correction of the serious problems as outlined in the section entitled "Dismissal for Cause."

If the faculty member disagrees with the assessment of the academic vice president and dean of faculty, the faculty member may ask the tenured members of the Faculty Personnel Committee to



review the materials and make a recommendation to the academic vice president and dean of faculty for reconsideration.

### **3.5**

#### **Conversion of Visiting Faculty Positions to Tenure-Eligible Positions**

When a department of the college deems it in the best interest of the college and department to recommend making a visiting faculty position tenure eligible, the department shall propose a new position (with such restructuring or alteration as the department deems appropriate) in the same manner it proposes any other new position. The position will be subject to all college procedures regarding the approval of new positions. If the new position is approved, a search should be conducted as it is outlined in the *Faculty Handbook* section entitled “Search and Appointment.”

In cases where the internal candidate has one to two years of equivalent full-time experience in the visiting faculty position or teaching fellowship that has been converted to a tenure eligible position, and the internal candidate is selected for the new tenure eligible position, the faculty member’s tenure evaluation process will begin with the second year review, which will take place during the faculty member’s second year in the new tenure eligible position. After this, the faculty member will be required to go through all other appropriate evaluations for a tenure eligible position. The faculty member’s application for tenure will take place in the fifth year after being hired in the tenure eligible position and it will be subject to the provisions outlined in the section called “Extending the Tenure Faculty Review Period.”

In cases where the internal candidate has three to five years of equivalent full-time experience in the visiting faculty position that is being converted to a tenure eligible position, and the internal candidate is selected for the new tenure eligible position, the faculty member’s tenure evaluation process will start with the third year review. The faculty member’s application for tenure will occur in the fourth year of employment after being hired in the tenure eligible position and it will be subject to the provisions outlined in the section called “Extending the Tenure Faculty Review Period.” External candidates will be subject to the normal tenure application and eligibility requirements of this *Faculty Handbook*.

### **3.6**

#### **Extension of Visiting Faculty Position**

In cases of continued institutional need and excellent performance, a visiting faculty member may be considered for extension beyond the initial term of appointment. In cases where a visiting faculty member with a term of 3 years or more is considered for an extension, the department chair, after consulting other department faculty, will submit a request for consideration of extension in writing to the academic vice president and dean of faculty. The academic vice president and dean of faculty, in consultation with the department chair, will evaluate the visiting faculty member’s third-year review and assess the needs of the department. In the event that this results in approval of the extension by the academic vice president and dean of faculty, the visiting faculty member will be offered an additional contract of up to five years, subject to the annual review applicable to all visiting faculty. A substantive review of the visiting faculty member will parallel the review schedule for tenure-eligible faculty.

## **3.7**

### **Evaluation Criteria**

The Colby-Sawyer community has an expectation that faculty will contribute to three important areas of academic life: teaching and advising, scholarship, and service. Excellence in teaching is critical to supporting an engaged teaching and learning community. Recognizing the most important role of teaching at Colby-Sawyer, we acknowledge that individual faculty may be stronger in either service to the college or scholarship. Active involvement in scholarship and creative work is important to maintaining academic excellence and knowledge of an area of expertise. Service opportunities contribute to effective college governance, a meaningful co-curricular life for students, and a vibrant academic community. In evaluating faculty, contributions in these three areas will be considered holistically, with the understanding that excellence in teaching and advising are of paramount importance.

### **3.7.1**

#### **Teaching and Advising**

The paramount responsibility of each faculty member is teaching, and advising is a corollary to this responsibility. All faculty members are expected to demonstrate excellence in teaching and advising.

#### **3.7.1.1**

##### **Teaching Experience**

The usual, full-time ranked teaching experience required for each rank is described in the section called “Criteria for Appointment to Specific Ranked Faculty Status.” A year of full-time, ranked teaching experience means that an individual has fulfilled the duties and responsibilities of a ranked faculty member for a complete academic year (as defined in the section called “Definition of Year”); or has fulfilled the duties of an academic administrative officer at the college for a full year and has taught one-quarter time or more during the year (see the section called “The Ranked Faculty”).

Another element in teaching experience is the type of courses in which the faculty member has participated. Faculty members are expected to participate effectively in the Liberal Education Program of the college as well as in courses designed and intended for departmental majors. Faculty members are also encouraged to participate effectively in campus-wide curriculum initiatives (e.g., Wesson Honors Program, interdisciplinary courses or programs, guest lectures, team-teaching).

#### **3.7.1.2**

##### **Teaching Effectiveness**

The college recognizes that excellence in teaching is one of the most important attributes of a faculty member. Since many characteristics contribute to teaching effectiveness, documentation should demonstrate, but not necessarily be limited to, the following:

- a. Command of one’s subject;
- b. Knowledge of the relationship of one’s discipline to the liberal arts and sciences tradition;
- c. Knowledge of current developments in one’s discipline and pedagogy;

- d. Ability to relate one's subject to other areas of knowledge and to incorporate, where appropriate, interdisciplinary teaching into one's pedagogy;
- e. Skill in communicating with students;
- f. Ability to plan and execute a substantive, well-organized course;
- g. Ability to stimulate and broaden student interest in the subject matter;
- h. Capacity to challenge students, e.g., to motivate them to engage in independent work;
- i. Ability to utilize effective teaching methods and strategies;
- j. Possession of the attributes of integrity, open-mindedness, and objectivity in teaching.

Teaching effectiveness should be assessed by evidence generated by the following procedures or activities:

- a. Self-evaluation;
- b. Evaluation by chair;
- c. Peer evaluation, both internal and external;
- d. Student evaluations;
- e. A review of course syllabi by peers inside or outside the college;
- f. Further course work or other continuing education in one's field or in a related field that supports college curriculum initiatives; and
- g. Participation in seminars and/or workshops on teaching skills.

### **3.7.2**

#### **Advising**

Faculty members have an obligation to advise students in their classes about classwork, to serve as departmental advisors for students majoring in their discipline or to serve as first year student advisors. Characteristics which contribute to good advising include, but are not limited to, the following:

- a. Ability to communicate with students;
- b. Ability to help students select a course of study appropriate to their interests and abilities, to the aims of a liberal education, and to their career goals;
- c. Ability to assist students in academic planning (fulfilling all requirements for their degrees or certification or outside agencies).

Effectiveness in advising should be assessed by evidence generated by the following procedures or activities:

- a. Self-evaluation;
- b. Evaluations of chair;
- c. Student evaluations;
- d. Participation in workshops or seminars designed to improve advising skills, when available.

### **3.7.3**

#### **Scholarship and Creative Work**

Effective teaching depends on active involvement in the intellectual, scholarly, pedagogical, and creative developments related to one's discipline. For the purposes of promotion and tenure review, Colby-Sawyer defines scholarship and creative work broadly, recognizing that it differs from discipline to discipline. Generally, however, this work may include written, oral, or creative production, and it is assumed that it is shared with peers and subject to review in some manner.

Colby-Sawyer's expectations in this regard derive from the four domains of scholarship and creative work first identified by Ernest Boyer in his *Scholarship Reconsidered: Priorities of the Professoriate* (Princeton University Press, 1990):

- a. **Scholarship of Discovery:** This may be regarded as "traditional" research, involving the development of new knowledge or the creation of original work.
- b. **Scholarship of Integration:** This involves the evaluation, analysis, synthesis, and/or interpretation of the work or performance of others.
- c. **Scholarship of Application:** This involves utilizing one's disciplinary expertise to engage with and develop solutions to individual, institutional, or societal issues.
- d. **Scholarship of Teaching and Learning:** This involves the investigation and/or development of pedagogical strategies that advance student learning.

These four domains are offered to prospective applicants for promotion and tenure, and to their academic departments, not as a restrictive or required rubric to be followed, but as a constructive rationale with which the applicant can more persuasively and effectively present his or her scholarly and creative efforts.

Evidence of scholarship and creative work includes but is not limited to:

- a. Documents, self-report of activities;
- b. Evaluations or statements by professional peers;

- c. Publications, presentations, or exhibitions in a peer-reviewed, juried, or otherwise academic context;
- d. Applied or professional publications or presentations;
- e. Published citation or acknowledgement of research in other works;
- f. Awards of external grants, prizes, or commendations.

### **3.7.4**

#### **Service**

All faculty members are expected to demonstrate excellence in terms of service to the college, service to their respective professions, and service to the student body.

Examples of service activities include, but are not limited to, the following:

- a. Service on departmental committees and effective participation in the department's decision-making and curriculum development processes;
- b. Effective participation on college committees;
- c. Leadership in area(s) which support the mission of the college (e.g. governance, faculty development, curriculum design, service as chair of a department, committee, or program);
- d. Effective participation in professional organizations (e.g. an appointment in a scholarly capacity to a state or national post, attendance at annual meetings), or service in a professional area as a consultant or resource (e.g. participating in reviews of creative or scholarly work);
- e. Representing the college to the regional, national, or international community;
- f. Effective participation in co-curricular student activities (e.g. serving as an advisor to a student organization or as a moderator of student activities);
- g. Planning and/or participating in curricular-related enrichment activities outside normal course offerings;
- h. Serving as the coordinator of an Honors Program, Truman Fellowship, Woodrow Wilson Scholarship, Fulbright Program, or other similar programs.

Demonstration of service activities should include, but not necessarily be limited to, the following types of evidence:

- a. Self-report of activities;

- b. Evaluations or statements demonstrating significant and effective contributions from department or committee chairs, professional peers, the supervisor of a college activity (e.g. a report from the Admissions or Development Offices), or the supervisor of a student-focused activity in which the faculty member participated;
- c. Published citations or acknowledgement of contributions.

### **3.7.5**

#### **Individual Professional Development Plan**

Each faculty member is expected to include an individual professional development plan in the self-evaluation narrative. This plan should accord with the faculty member's personal abilities and should take into account both the college's and the department's long-term and short-term goals, as specified by the academic vice president and dean of faculty and the other members of the faculty within the individual departments. It should be developed in consultation with the department chair. It should be a long-term plan but it should also include short-term objectives to be achieved before promotion or before the granting of tenure. This plan should be reviewed annually and revised when necessary.

### **3.8**

#### **Determination of Terminal Degree Equivalency**

Terminal degree equivalency is determined according to the following provisions:

- a. Timelines
  1. For those faculty members seeking a fall determination of equivalency, a declaration of intent must be received by the academic vice president and dean of faculty by April 1. All material in support of the application for determination of equivalency must be received by the academic vice president and dean of faculty by June 15.
  2. For those faculty seeking a spring determination of equivalency, a declaration of intent must be received by the academic vice president and dean of faculty by November 1. All material in support of the application for the determination of equivalency must be received by the academic vice president and dean of faculty by December 15.
- b. Requirement for Determination

Faculty members are allowed only one chance for an equivalency determination. Faculty members who have not requested equivalency review prior to the completion of the fifth year of employment must submit a declaration of intent by April 1. All material must be submitted to the academic vice president and dean of faculty by June 15 following the fifth year of employment.
- c. Required Submissions

The faculty member requesting equivalency review is responsible for submission of the following written materials by the deadlines set forth above:

  1. A narrative of scholarly activities and accomplishments supporting the equivalency determination; and
  2. A portfolio of scholarship materials supporting the equivalency determination.

d. Outside Review

Upon receipt of the declaration of intent, the academic vice president and dean of faculty shall select three reviewers from outside the college to review submitted materials and make a determination of equivalency.

1. Each reviewer must work in a graduate program granting the appropriate terminal degree and have professional experience or working knowledge of undergraduate programs within the discipline of the applicant.
2. The academic vice president and dean of faculty will consult with the department chair and the applicant in determining the general guidelines for choice of reviewers (e.g. type of graduate program granting the appropriate terminal degree), but the decision of the academic vice president and dean of faculty on the selection of reviewers will be final.
3. The reviewers will remain anonymous except to the president and the academic vice president and dean of faculty.
4. The academic vice president and dean of faculty will be the college contact person with the reviewers and will be responsible for providing information about the college including mission, *Faculty Handbook* guidelines, the purpose of the review, and a standardized letter with the guidelines for the reviewers and request for the reviewers' recommendations.
5. The academic vice president and dean of faculty will receive the recommendation on equivalency from each reviewer.
6. The academic vice president and dean of faculty will accept the recommendation of the majority of reviewers as a binding determination on the question of granting or denying the request for equivalency. In the event of a serious charge of professional misconduct or legal issue brought forth, or other serious matter arising, the academic vice president and dean of faculty has the right to investigate these charges before accepting the recommendations.
7. The academic vice president and dean of faculty will inform the applicant of the recommendation of the reviewers.
8. The applicant may not appeal the decision except for issues of process.

### 3.9

#### Faculty Rank

##### 3.9.1

###### Instructor

- a. Significant progress toward completion of terminal degree or relevant experience appropriate to the teaching assignment.
- b. Previous college teaching experience is desired.
- c. Promise as a teacher as documented by recommendations and evidence of success at related experiences.
- d. The potential to contribute to college governance, as evidenced by prior leadership.
- e. Promise of excellence in scholarship or creative accomplishment.

### **3.9.2**

#### **Assistant Professor**

- a. An advanced degree or significant demonstrated progress toward the attainment of a terminal degree.
- b. Discipline credentials and terminal degree requirements for promotion will be established for new programs as those programs are developed.
- c. College-level teaching with written documentation of credit granted for experience at other institutions and teaching while in administrative positions.
- d. Evidence of teaching ability as demonstrated in recommendations and previous evaluations and/or equivalent experience.
- e. Evidence of ability to contribute to the academic governance of the college: involvement in departmental governance, in committee work and/or special assignments.
- f. Evidence of excellence in scholarship or creative accomplishment.

### **3.9.3**

#### **Associate Professor**

- a. An appropriate terminal degree or equivalent (as determined in accordance with the procedures set forth in the section entitled “Academic Rank, Terminal Degree, and Years of Teaching Experience”).
- b. A minimum of six years teaching at the college level including four at the rank of assistant professor, with written documentation of credit granted for time at other institutions, and/or teaching while in administrative positions.
- c. Evidence of excellence in the classroom as demonstrated by student evaluations and recommendations of colleagues; evidence of ability to establish and maintain high academic standards; and evidence of effective course design; evidence of strong academic advising for students.
- d. Evidence of strong service and effective contributions to the college, department, and students as defined in the section entitled “Service;” evidence of engagement in the profession.
- e. Evidence of a pattern of scholarship or creative accomplishment, as defined in the section entitled “Scholarship and Creative Work.”
- f. Provide a professional development plan that elucidates a short and long term plan for continued scholarly or creative development and addresses leadership development.



### **3.9.4**

#### **Professor**

- a. An appropriate terminal degree or equivalent as determined in accordance with the procedures set forth in the section entitled “Academic Rank, Terminal Degree, and Years of Teaching Experience.”
- b. A minimum of twelve years of teaching at the college level, including six at the rank of associate professor, with documentation in writing of credit granted for time at other institutions, and teaching while in administrative positions.
- c. Clear and compelling evidence of outstanding effectiveness in the classroom as demonstrated by student evaluations and recommendations from colleagues; clear and compelling evidence of the ability to establish and maintain high academic standards; and evidence of effective course design; evidence of strong academic advising for students.
- d. Evidence of broad and pervasive service to the college, the department, and the students; evidence of a pattern of contribution to the profession.
- e. Evidence of leadership at the broad level of college activities; planning, research, development, or implementation of stated college goals; evidence of contribution to the development of other faculty in terms of pedagogy, college service, or scholarship.
- f. Evidence of a body of meaningful scholarly or creative accomplishment as defined in the section entitled “Scholarship and Creative Work.”
- g. Provide a professional development plan that elucidates a short and long term plan for continued teaching effectiveness, service, leadership, and scholarly or creative development.

### **3.10**

#### **Rank for Professional Librarians**

##### **3.10.1**

###### **Instructor**

Requires a master’s degree in library science or its equivalent; decisions on degree equivalency are made by the academic vice president and dean of faculty in consultation with the director of Information Resources at the time of the initial appointment. This rank designates the entry level, and is assigned to individuals who have little or no pertinent experience working in academic libraries.

##### **3.10.2**

###### **Assistant Professor**

Requires a master’s degree in library science or its equivalent; three years of full-time service as a professional librarian in an academic library with the proviso that any or all of this experience may be waived if an appropriate master’s degree in another subject area, or accomplishments that are considered equivalent, is obtained prior to appointment or promotion to this rank. Individuals promoted or appointed to this rank have demonstrated proven professional skills in

academic libraries. Such individuals have shown the ability to work effectively and have the potential for further development and accomplishment.

### **3.10.3**

#### **Associate Professor**

Requires a master's degree in library science or its equivalent; a second master's degree in another subject area is highly desirable. A minimum of eight years of full-time service in an academic library and a minimum of three years at the rank of assistant professor at Colby-Sawyer is also required, along with evidence of sustained job effectiveness at a high level of professional performance.

### **3.10.4**

#### **Professor**

Requires a master's degree in librarianship and a master's degree in another subject; a minimum of fourteen years of full-time, ranked service as an academic librarian including a minimum of six years of full-time service at the rank of associate professor is required, as is evidence of outstanding job effectiveness and evidence of outstanding service to the profession and the college. This rank acknowledges sustained professional accomplishment, leadership, and outstanding performance as an associate professor at the college or the equivalent elsewhere.

Professional librarians may participate in committee work both internal (e.g. faculty committees) or external (e.g. library associations) after consultation with the director of Information Resources regarding the needs of the department.

### **3.10.5**

#### **Rights and Privileges for Professional Librarians**

Professional librarians have all rights and privileges as other members of the faculty as set forth in the section called "Faculty Rights and Privileges," and as noted below:

- a. Selection of publications, including determination of what to discard from an existing collection and what to accept from donors;
- b. Determination of restrictions on circulation or on access to library materials;
- c. Determination of the degree of prominence in the shelving of selected library materials;
- d. The issuing of bibliographies that might include controversial publications;
- e. Advising students on what to read or study;
- f. Are voting members of the faculty.

### **3.11**

#### **Rank for Staff with Faculty Status**

##### **3.11.1**

#### **Criteria for Establishing Faculty Rank for Staff Other than Professional Librarians**

Upon appointment the Board of Trustees may grant the president and the academic vice president and dean of faculty, faculty rank and status.

Ranked faculty members who are subsequently appointed to administrative full-time positions will retain their faculty rank and full tenure rights. Time in such status may or may not count toward promotion, tenure, and sabbatical leave, at the option of the faculty member.

### **3.12**

#### **Work Expectations**

##### **3.12.1**

#### **Academic Expectations**

- a. Normal teaching loads vary from department to department. Generally those faculty teaching laboratory, studio courses or clinical practicum will have fifteen to eighteen hours of scheduled meetings with their students each week; other faculty will be scheduled for twelve hours a week;
- b. Faculty members are expected to be in residence as provided in the section called “Definition of Academic Year;”
- c. Faculty members are expected to meet their classes as scheduled. In case of unavoidable absence, the professor notifies the department chair, and the office of the academic dean;
- d. Throughout the academic year, classes should be held on the day and at the time specified by the registrar; exceptions must be approved in writing by the academic dean. Therefore, unless an exception is approved, all classes are expected to convene at their regular times, including the day immediately preceding or following recess periods;
- e. Faculty will not give written examinations during the final week of the fall and spring terms. All such examinations will be given during the scheduled final examination period. This in no way prohibits the use of quizzes during the final days of the fall and spring terms;
- f. Changes in classroom assignments must be approved in advance by the registrar;
- g. Faculty members are expected to attend commencement exercises, department meetings, and meetings of the faculty of the college; they are encouraged to attend all college-sponsored functions. Those planning to be absent from commencement must obtain written permission from the academic vice president and dean of faculty;
- h. With the exception of those on leave or in the first year of service, faculty are expected to serve on at least one faculty committee;

- i. Faculty are expected to be advisors to students, (see the section entitled “Advising”) and should keep complete, well organized files of all student evaluation instruments available for the academic vice president and dean of faculty and/or the Faculty Personnel Committee.

### **3.12.2**

#### **Definition of “Year”**

While the formal academic year begins with the first day of classes and ends with Commencement, faculty members shall attend meetings and/or workshops that may be scheduled during the week prior to the first day of classes and the week following Commencement.

### **3.12.3**

#### **Primary Faculty Responsibility**

The primary responsibility of a faculty member is to render to the college the most effective service possible and to devote his or her full working time to the college. At the same time, limited consulting and other outside activities of a professional nature are encouraged by the college where such activities give the faculty member experience and knowledge valuable to professional growth and development. These activities may help the member of faculty make worthy contributions to knowledge, or contribute to instructional programs, or otherwise make a positive contribution to the college or the community. However, these activities can never interfere with the faculty members’ full-time responsibilities.

### **3.12.4**

#### **Outside Activities and Outside Professional Activities**

For purposes of this section, “outside activities” and “outside professional activities” are distinguished as follows:

- a. “Outside Activities” are those activities, compensated or uncompensated, which are not included directly or indirectly, in a faculty member’s contractual obligations to the college and which are not related to the faculty member’s academic specialty;
- b. “Outside Professional Activities” are those activities, compensated or uncompensated, which are related to the faculty member’s academic specialty and which involve persons, entities, or governmental agencies other than the college (an “outside entity”) or programs administered through or sponsored by an outside entity. Examples of “outside professional activities” include:
  - 1. Practicing one’s profession on a limited basis;
  - 2. Providing professional, managerial, or technical consulting services to an outside entity;
  - 3. Serving on a committee, panel, or commission established by an outside entity;
  - 4. Testifying as an expert in administrative, legislative, or judicial hearings;
  - 5. Participating in or accepting a commission for a musical, dramatic, dance, or other artistic performance, or event sponsored by an outside entity; and
  - 6. Teaching at an institution other than the college.

#### **3.12.4.1**

##### **Examples of Usual Outside Professional Activities of Faculty**

Ordinarily, faculty are expected to engage in one or more of the following outside professional activities:

- a. Writing of scholarly books, monographs and articles;
- b. Participating in professional organizations, seminars, and colloquia that are relevant to the educational process at the college and/or to the individual's academic interests;
- c. Acting as a reviewer or editor for professional journals or book manuscripts; or
- d. Presenting occasional lectures or papers at meetings of an outside entity.

#### **3.12.4.2**

##### **Conflicts with Primary College Responsibility and Outside Activities**

No outside service or enterprise, professional or other, should be undertaken that might interfere with the faculty member's primary responsibility to the college. While each member of the faculty is encouraged to engage in outside professional activities, these must be clearly subordinate to his or her teaching, advising, scholarship and creative work, and service responsibilities.

#### **3.12.4.3**

##### **Applicable Procedures**

All "Outside Activities" and "Outside Professional Activities" are subject to college policy; a conflict or the appearance of a conflict between such activities and a member of the faculty's primary responsibility should be avoided. A faculty member should seek approval from the chair of the department and the academic vice president and dean of faculty prior to any instance where a conflict between his or her primary responsibility and his or her outside activity may arise. Such planning is in the best interests of the faculty member, the department, and the college.

The college assumes no responsibility for the competence of performance of "Outside Activities" engaged in by a faculty member, nor may any responsibility be implied in any advertising with respect to such activities. Faculty members may not represent themselves as acting on behalf of the college.

#### **3.12.5**

##### **Use of Facilities and Services**

College facilities may be used by faculty members in connection with academic or scholarly activities without being subject to the requirements of prior approval or reimbursement.

While faculty members may utilize the services of the academic administrative assistants to assist in the preparation of professional articles, papers, review, etc., such clerical assistance should not interfere with the department's daily official work.

Except for the use of office space assigned to a faculty member and available library services, college facilities (including, without limitation, computers, and other equipment) may be used by faculty members in connection with “outside activities” and “professional outside activities” only after written approval by the chair of the faculty member’s department, the academic vice president and dean of faculty, and the person responsible for operation of the facility or equipment. In all cases, the faculty member or his or her outside employer or sponsor will pay the rate established by the college for the use of the facility, equipment, materials, or services.

### **3.12.6**

#### **Use of the College Name and Seal**

The college’s name and seal are the exclusive property of the college and, consequently, may not be used in connection with goods or services offered by any outside organization without the prior permission of the academic vice president and dean of faculty. Faculty members publish a considerable number of reports in the form of bulletins, circulars, scientific articles, monographs, and books, some of which are copyrighted and others which are not. Material from such recognized publications is, of course, quotable, and proper recognition should be given both to the individual author and to the college in connection with such quotations.

Official stationery may not be used in connection with “outside activities” except with respect to academic and scholarly activities. No report or statement relating to outside activities may use the name of Colby-Sawyer College or be attributed to it. The use of official college titles for personal gain or publicity is prohibited without the written approval of the academic vice president and dean of faculty.

### **3.12.7**

#### **Political Activity**

Faculty members, as citizens, are free to engage in political activities. Any member of the faculty who wishes to engage in direct political activity which will involve a substantial amount of time away from the performance of his or her college responsibilities (e.g., holding or running for political office, managing a campaign, directing group action on behalf of a political candidate or issue) is expected to work out a mutual agreement for leave of absence with the department chair and the academic vice president and dean of faculty before undertaking such activity.

The terms of such leave of absence will be set forth in writing, and the leave will not affect unfavorably the tenure status of a faculty member, except that time spent on such leave will not count as probationary service unless otherwise agreed to.

### **3.12.8**

#### **Compliance and Enforcement**

The department chair and the academic vice president and dean of faculty are available for advance consultation with respect to potential conflicts between a faculty member’s primary responsibility and outside activities.

If the department chair or the academic vice president and dean of faculty are concerned about whether a faculty member is meeting the standards of this policy, the academic vice president and dean of faculty will determine whether or not to approve the outside professional activity.

### **3.13**

#### **Working Conditions**

##### **3.13.1**

#### **Private Property on Campus**

The college cannot provide loss or liability insurance for private property kept on campus.

##### **3.13.2**

#### **Closing of the College**

The Board of Trustees or the president of the college, or persons acting under their authority, may close the college due to circumstances beyond the college's control which impair its ability to continue normal operations. Such circumstances may include, but are not limited to, inclement weather, natural disaster, labor disputes, national emergencies, or other forces majeure or circumstances beyond the college's control.

Announcement of the cancellation of classes of the college shall be disseminated by means of local radio stations and the college's web site. In the case of inclement weather, employees may also call the college switchboard. If the college is closed or is on a delayed-opening schedule, a pre-recorded message will so indicate; if the schedule is unchanged, the caller will hear the regular greeting.

##### **3.13.3**

#### **Human Participants in Research**

To ensure the psychological and physiological safety and well-being of any individual involved in a research project, any research using people (including, but not limited to, surveys, questionnaires, observations, interviews, or experiments) requires written prior approval of the Institutional Review Board.

##### **3.13.4**

#### **Response to Allegations of Research Misconduct**

Research misconduct violates Colby-Sawyer College's mission as an educational institution, and will not be tolerated. Allegations of research misconduct by students will be investigated and adjudicated based upon the college's academic honesty policies and procedures. Allegations of research misconduct by employees will be investigated and adjudicated based upon the procedures detailed below. In the case of sponsored or funded research, any additional specific requirements of the sponsoring or funding agency will also apply.

Research misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, reviewing, or reporting results in research. The avoidance of research misconduct is but one specific expectation within the broader expectation for ethical and professional conduct.

Definitions:

1. Fabrication: making up data or results and recording or reporting them
2. Falsification: manipulating research materials, equipment, or process, or changing or omitting data or results such that the research is not accurately represented in the research record
3. Inquiry: gathering information and initial fact-finding to determine whether an allegation or suspected research misconduct warrants an investigation
4. Investigation: the formal development of a factual record and the examination of that record leading to a decision not to make a finding of research misconduct, or a recommendation of a finding of research misconduct which may include a recommendation for other appropriate actions, including administrative actions.
5. Plagiarism: the appropriation of another person's ideas, process, results, or words without giving appropriate credit
6. Research Record: the record of data or results that embody the facts resulting from research inquiry, including but not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and any documents and materials provided to a government agency or an institutional official by a respondent in the course of any inquiry or investigation
7. Respondent: the person against whom an allegation of research misconduct is directed or the person whose actions are subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation.

#### **3.13.4.1**

##### **Process for the Allegation**

All members of the college community have the responsibility to report suspected instances of research misconduct to the Research Integrity Officer (RIO). The RIO at Colby-Sawyer is the Academic Dean. The allegation must be made in the form of a signed, written statement. All reasonable efforts will be made to keep the identity of the individual making the allegation in confidence.

Upon receipt of the written statement of allegation, the RIO, within 5 working days, shall conduct a preliminary assessment to ascertain whether there is sufficient merit to the allegation to warrant an inquiry and shall determine if specific procedures required by a federal agency need to be considered. During the inquiry, the RIO will conduct an initial review of available evidence to determine whether to move forward with an investigation and hearing of the allegation, such ruling to be made within 10 working days of the receipt of the allegation. The RIO will also be responsible, as applicable under agency requirements and the law, for notifying and reporting misconduct or alleged misconduct to the relevant external agencies and for assembling and maintaining the records of research under question.



Should the RIO find sufficient cause for further investigation, the case will be referred to the Institutional Review Board (IRB) , which will investigate the allegations. Pending a final determination of the disposition of the case by the Deciding Officer (at Colby-Sawyer, the DO is the Academic Vice President and Dean of Faculty), the RIO may suspend the researcher against whom the allegation has been made from participation in the research and take any other reasonable interim actions to protect researchers, research participants, students, equipment, resources, and research results against the potential threat posed by misconduct.

After its investigation, the IRB will make its recommendation to the DO, who will make the final determination of the allegation and the institution's responsive actions. These may involve such sanctions and responsive actions as removal from the research project with a written sanction, return of funds to the granting agency, retraction of published material, and/or a recommendation for termination of employment.

Any appeal of the DO's decision must be made in writing, with evidence, within 10 working days, to the Grievance Panel of the Academic Review Board (ARB), which will follow the Grievance Process described in the *Faculty Handbook*. The possible bases for the appeal are: 1. Procedural irregularity; 2. New evidence; 3. Imposition of an excessive penalty. Following a final determination, the DO is responsible for notifying and providing required documentation of the misconduct and the institutional response to the appropriate external agencies. Regardless of the findings, all records of the allegation, inquiry, investigation, and final disposition shall be maintained for a period of seven years.

#### **3.13.4.2**

##### **Education and Training**

Colby Sawyer fosters responsible conduct of research through formal training on research integrity, dissemination of the Research Misconduct policy to faculty, and prominently locating the Research Misconduct Policy on the college website.

#### **3.13.5**

##### **Animal Research or Other College Sponsored Activity**

To ensure that animals are cared for humanely and safely, any college-sponsored research or classroom activity involving animals requires written prior approval from the academic vice president and dean of faculty.

#### **3.13.6**

##### **Pets**

Personally owned animals, birds, reptiles or other pets are not allowed in college housing, classrooms, or laboratories.

### **3.13.7**

#### **Mountain Day**

This day is for faculty, staff, and students to participate in a fellowship which has become a tradition at the college.

Full-time and pro rata faculty are expected to participate in this activity. Mountain Day will be considered a normal working day.

### **3.14**

#### **Benefits**

Benefits are administered consistently for all employees, including faculty. Current benefit information is available from the Office of Human Resources.

### **3.15**

#### **Leaves and Absences**

#### **3.15.1**

##### **Absences**

Faculty members shall inform their department chair and the academic dean's office of their absence on any scheduled day when they are unable to meet their classes or perform other duties. The chair, in turn, shall notify the academic vice president and dean of faculty of all such absences and whether the faculty member's duties can and will be made up. Absences of six or more consecutive days will be addressed through provisions of the *Employee Handbook*.

#### **3.15.2**

##### **Leaves with Pay**

##### **3.15.2.1**

###### **Short-Term Disability Leave and Parental Leave**

The college complies with all provisions of the Family and Medical Leave Act in providing disability leave for full-time ranked faculty. Pay and benefits are addressed in the college's short-term disability insurance policy and parental leave policy available from the Human Resources Office.

##### **3.15.2.2**

###### **Civil Duty Leave**

A ranked faculty member who is validly subpoenaed or summoned to involuntarily appear or serve as a juror during regularly scheduled work hours in a judicial forum, or compelled to appear before a judicial, legislative, or administrative body with civil power to compel attendance, shall be entitled to receive leave for a period of time necessary for such appearance. Civil leave shall then be granted for appearances as an expert witness for a party to litigation. The leave must be approved in advance in writing by the appropriate department chair. The college will compensate the faculty member for the difference between any compensation received and the individual's normal base salary for the same period.

### **3.15.2.3**

#### **Military Leave**

The college shall comply with all applicable laws regarding reinstatement.

Active duty shall be defined to include participation in assemblies or annual training pursuant to any valid order of the command under which the employee serves, or attendance at service schools conducted by the Armed Forces or the United States. This would include voluntary assignments for a period not to exceed fourteen (14) calendar days in any 365 calendar day period.

### **3.15.3**

#### **Leave without Pay**

- a. Leaves of absence without pay may be granted to a faculty person for a period of no more than one year. A leave may be granted for health or personal reasons. Personal reasons include education, research, professional development, or family matters, including adoption and infant rearing or other extraordinary circumstances. Faculty members on leave without pay are not eligible or expected to teach, serve as formal advisors to students, or serve on college committees during that period of leave.
- b. Faculty members must apply to the academic vice president and dean of faculty for a leave of absence.
  1. Each request for leave without pay is considered on the merits of the individual case. The academic vice president and dean of faculty will assess the effect of the faculty member's absence on the department and the college.
  2. During the leave of absence the faculty member may continue participation in the Medical and Dental insurance plans at the faculty member's expense. The faculty member may continue to contribute to TIAA/CREF, but the college will not contribute.
- c. Procedures
  1. Application for leaves of absence should be submitted to the academic vice president and dean of faculty with a copy to the department chair, at least five months before the proposed leave.
  2. The department chair will submit to the academic vice president and dean of faculty a statement of the impact of the proposed leave on the department.
- d. The period of the leave normally will not be included among the years required for eligibility for a sabbatical leave, promotion, or tenure.
- e. Faculty members on approved leaves of six months or longer should notify the academic vice president and dean of faculty in writing on or before February 1 or September 1 as applicable of their intention to return to work the following semester. Failure to meet this notice will be considered a resignation from the college.

### **3.16**

#### **Human Rights Policy**

It is the policy of the college not to discriminate unlawfully against any employee or applicant for employment because of gender, race or ethnicity, color, national origin, religion, age, mental or physical disability, family or marital status, sexual orientation, veteran status, genetic information, or gender identity. This policy includes, but is not limited to:

- a. Recruitment and employment of applicants who possess the necessary qualifications and/or experience for appointment to the faculty;
- b. Renewal of faculty contract, tenure, promotion, and separation;
- c. Sabbatical leave or other leave with or without pay; faculty development programs, grants, awards sponsored by the college;
- d. Establishment of salary, benefits, workload, and other rights (see sections called "Faculty Rights and Responsibilities" and "Work Expectations") belonging to a faculty member.

Moreover, it is the policy of the college that no employee shall discriminate against another employee on any of these grounds.

### **3.17**

#### **Employment Conflict of Interest**

It will be a conflict of interest in employment at the college for an employee to serve in a direct supervisory capacity over a relative, dependent, household member, or an individual with whom an employee has a significant relationship of a personal romantic or business or economic nature other than as employees of the college.

If two individuals have or develop a significant personal romantic or business or economic relationship, and one is in a position to supervise the other or to recommend personnel actions involving the other (tenure, promotion, sabbatical leaves, etc.), the following procedures shall be followed:

- a. It is the responsibility of each of the involved individuals to notify the academic vice president and dean of the faculty and the director of Human Resources in writing of the conflict and the nature thereof in sufficient detail that the administrators may make an appropriate determination of whether a conflict in fact exists and the appropriate action to be taken.
- b. The academic vice president and dean of the faculty and the director of Human Resources shall meet with the individuals involved (either separately or jointly) and develop a written plan to deal appropriately with the supervisory or committee responsibilities in light of the conflict of interest.
  1. In the case of a supervisory relationship, such plan shall assure that the supervisor is recused from supervisory activities over the faculty member and that the faculty member receives objective evaluation and supervision.

2. In the case of a committee or departmental recommendation for a personnel action, the individuals shall be recused from discussion and vote.
- c. In the event the family or significant personal or romantic or business or economic relationship between the individuals shall terminate, the conflict of interest shall be deemed to continue until and unless a determination is made by the academic vice president and dean of the faculty and director of Human Resources that the conflict no longer exists and the potential for non-objective evaluation has ceased.
- d. Faculty members receiving funding from grants shall not use those funds to benefit personally through an outside enterprise that is owned wholly or in part by the faculty member.

### **3.18**

#### **Separation**

At times, the college or individual faculty members may find it necessary to sever their contractual relationship. To protect the interests of both parties, categories of separation are here defined, and the policies and procedures related to each are set forth.

Types of Separation:

- a. Resignation
- b. Voluntary Transition
- c. Retirement
- d. Non-reappointment – annual contract faculty only
- e. Layoff/termination
- f. Suspension or dismissal for cause

### **3.19**

#### **Resignation**

Resignation is an action by which a faculty member voluntarily severs a relationship with the college. It is requested that all faculty members provide the earliest possible notice of intent to resign. Ordinarily, the faculty are expected to give notice to their chair and to the academic vice president and dean of faculty not later than March 1 of the academic year.

#### **3.19.1**

##### **Faculty Voluntary Transition Program**

This program provides significant financial support from the college to any full-time, tenured Colby-Sawyer faculty member who has been at the college for ten or more years, to substantially assist this person in choosing to follow a career outside post-secondary education (e.g., in a government position, a research center, business, industry, consulting, etc.). The program is entirely voluntary. Eligible faculty members who wish to apply for this program must make a

formal request to the academic vice president and dean of faculty. Should the request be approved, the faculty member:

- a. yields all rights of tenure upon entrance into this program;
- b. agrees not to be employed as a faculty member in a post-secondary institution for a period of three years; and
- c. understands that he or she will not be re-employed by Colby-Sawyer College full-time, except under extraordinary circumstances to be determined by the college.

The program represents a significant commitment of the college's resources. Therefore, the number of voluntary transition options approved is at the discretion of the president.

An eligible faculty member, as defined above, who wishes to enter the program shall meet with the academic vice president and dean of faculty and the director of human resources to discuss the details of the program. Formal written application for the program must be completed on or before January 15 of the calendar year in which the faculty member wishes to enter the program. The application is addressed to the academic vice president and dean of faculty, with a copy to the department chair.

If the application to the program is approved:

- a. during the year of entry into the program, the former faculty member has no duties at the college;
- b. during the year of entry into the program, the former faculty member will receive payment equal to the salary he or she would have received under the contract for that year plus an additional \$3,000; the former faculty member may choose to receive this payment either in a lump sum on September 1 of the year of entry into the program or receive this payment over the normal pay periods spread throughout the academic year, ending May 31; all payments are subject to required tax deductions;
- c. during the year of entry into the program, the college will, at its own expense, continue designated benefits; not all benefits can be extended under this program; and
- d. all payments and designated benefits to the former faculty member will cease at the end of this academic year; however, the tuition remission plan will remain in effect as follows: if the former faculty member, spouse and/or dependent(s) are receiving benefits under the tuition remission program at the time of entry into the program, such benefits will continue for the next three years or until the former faculty member, spouse and/or dependent(s) have completed the program of study, whichever occurs first, as long as such enrollment is continuous.

### **3.19.2**

#### **Faculty Gradual Retirement Program**

This program is available for those full-time faculty members who:

- a. are tenured;

- b. have been teaching full-time in post-secondary education for 15 or more years (at least eight years of which have been at Colby-Sawyer College); and
- c. wish gradually to reduce their teaching obligations at the college over a five-year period.

A qualified faculty member, as specified above, who decides to enter the program must give his or her department chair and the academic vice president and dean of faculty at least one semester's notice, in writing, of his or her decision. After entry into the program, if the faculty member wishes to retire completely he or she may do so after the first year of the program, with one semester's written notice, to the department chair, and the academic vice president and dean of faculty.

During the first and second years after entry into the program, the faculty member's teaching load will be reduced to  $\frac{3}{4}$  time and his or her salary will be prorated accordingly. The faculty member will otherwise be expected to maintain normal faculty responsibilities and duties. During the third and fourth years of the program, the faculty member's teaching load will be reduced to  $\frac{1}{2}$  time and his or her salary will be prorated accordingly. The faculty member will be relieved of all other faculty duties and responsibilities, although he or she may voluntarily do committee work or academic advising. During the fifth year of the program, the faculty member's teaching load will be reduced to  $\frac{1}{4}$  time, which may be fulfilled in one semester of the year; salary will be prorated accordingly; the faculty member will be relieved of all other faculty duties and responsibilities.

At any time while in this program the faculty member may choose to halt the progressive reduction of his or her load at whatever stage it has reached ( $\frac{3}{4}$ ,  $\frac{1}{2}$ ,  $\frac{1}{4}$ ). The faculty member will maintain his or her workload unless he or she chooses to reinitiate this progressive reduction.

While in this program, a faculty member will have all the privileges of a full-time faculty member. All benefits in force will remain in effect as modified below and are subject to the college's contract arrangements with the insurance carriers:

- a. At the time a faculty member enters this program, if the faculty member, a spouse and/or dependent(s) is (are) receiving benefits under the tuition remission plan, such benefits will continue until the faculty member completes this program or until the spouse and/or dependent(s) has (have) completed his or her (their) program of study, whichever occurs first;
- b. The college's contributions to TIAA-CREF will be reduced proportionately as the faculty member's salary is reduced. Access to funds in the faculty members' college-sponsored retirement plan will be allowed in accordance with his or her existing retirement plan and ERISA/IRS provisions in place at the time;
- c. The disability insurance provided by the college will be discontinued at the end of the faculty member's second year in the program.

### **3.19.2.1**

#### **Hire Date before June 1, 1978**

Ranked faculty members who, upon retirement from Colby-Sawyer College, have attained at least 60 years of age and who have completed at least fifteen years of continuous employment at the college will continue to be eligible for the current medical and dental plans in effect at the college for active employees of the college until age 65. At age 65, the medical insurance is replaced by a plan which complements Medicare; coverage is provided for the employee at the expense of the college. If dependents were covered by the plan at the time of retirement such coverage will be continued by the college within the group plan and will continue so long as such dependent is in a dependent status under IRS rules.

### **3.19.2.2**

#### **Hire Date after June 1, 1978**

All ranked faculty members who have attained at least 60 years of age and retire with a minimum of fifteen years of continuous, full-time employment at the college will be covered until age 65, under the medical plan currently in effect between retirement and age 65, for active employees of the college. There is no cost for the employee coverage. If dependent coverage is desired, the expense will be the responsibility of the employee. After age 65 all individuals are eligible for Medicare coverage administered by the Federal government. Upon the death of a participating retired employee, coverage of eligible dependents ceases no less than thirty days following the retired employee's death. However, the dependent in that case may continue in the group plan under the provisions of Federal regulations. The Office of Human Resources can provide information about this coverage.

### **3.19.3**

#### **Status and Privileges of Retired Faculty Members and Those in the Voluntary Transition Program**

Colby-Sawyer College is committed to promoting close ties among its faculty members who have retired or entered the Voluntary Transition Program. To this end, retired faculty members and those in the Voluntary Transition Program are eligible for faculty emeriti/emeritus status, with all the appropriate privileges, which are (subject to the current policies, restrictions, and fees applicable to full-time faculty):

- a. access to Colby-Sawyer College's recreational and athletic facilities, its library, bookstore, campus parking permits, and its cultural, athletic, and educational events;
- b. access, on a space available basis, to any course(s) at the college under the provisions of the college's tuition remission plan; further, if a spouse and/or dependent(s) are receiving benefits under the tuition remission plan, such benefits will continue until the spouse and/or dependent(s) have completed the program of study, or for three years, whichever occurs first, as long as such enrollment is continuous;
- c. notices of special events for faculty emeriti;
- d. the ability to attend (but not vote in) the meetings and other activities of his or her former department; and



- e. the ability to participate in the college's Commencement exercises.

### **3.20**

#### **Non-Reappointment (Annual and Terminal Contracts Only)**

The term "non-reappointment" means that the college has decided not to offer an additional contract to a faculty member at the conclusion of an annual contract term (see the section called "Annual Contracts" for the definition of Annual Contract). Non-reappointment is different from layoff (see sections on "Layoff/Termination" and "Dismissal for Ineffective Teaching" and "Dismissal for Cause."). Reasons for non-reappointment of annual contracts are within the discretion of the college and may include, but are not limited to the following:

- a. Cancellation of or change in a program;
- b. Over staffed academic units;
- c. Incongruence between the teaching interests of the faculty member and the educational goals of the department as established by approved program reviews;
- d. Unfavorable reviews of the faculty member's major appointment responsibilities of teaching and/or advising or availability;
- e. Inadequate services to the college;
- f. Enrollment or financial emergency; or
- g. Financial exigency.

The decision not to reappoint a faculty member under the provisions in the section called "Non-Reappointment (Annual and Terminal Contracts Only)" is made by the academic vice president and dean of faculty except that any such decision may not be discriminatory, arbitrary, or capricious. The academic vice president and dean of faculty shall act after consulting with the appropriate department chair. If the faculty member is the department chair, the academic vice president and dean of faculty may consult with department faculty and the appropriate department chair. The faculty member may appeal the decision of the academic vice president and dean of faculty to the president within 30 days. The burden of proof shall be on the faculty member.

### **3.21**

#### **Layoff/Termination**

Layoff occurs because of a major institutional change, enrollment emergency or exigency that affects all faculty; or particular circumstances of an individual faculty member, and may take place prior to the end of an appointment contract term, except as noted in particular circumstances applicable to specific categories of faculty set forth below. Layoff is a severance action by which the college terminates the services of a faculty member (tenured or non-tenured) before the expiration or at the end of his or her current contract, and is not dependent upon the performance of the faculty member.

Reasons for layoff are:

- a. Major changes in curricular requirements, academic program, or department;
- b. Over staffed academic units;
- c. Prolonged mental or physical illness;
- d. Enrollment or financial emergency; or
- e. Financial exigency.

These reasons are defined further in the sections contained below.

### **3.21.1**

#### **Changes in Curricular Requirements, Academic Programs, or Departments in Whole or in Part**

Termination of a ranked full-time or pro rata faculty member may occur as a result of a major change, including discontinuation of a curricular requirement, an academic program, or department in whole or in part. (A “program” is an organized sequence of courses such as the requirements for a major or special educational project.) Decisions on such major changes shall be made by the academic vice president and dean of faculty in consultation with the Academic Policies Committee.

Faculty with two or more years of teaching at Colby-Sawyer College who are laid off under a program change, etc. will receive at least one year’s notice from the time of a final decision and official notice to the faculty member to change or eliminate a program. The college will, when possible, end such programs and the faculty member’s relationship with the college at the end of an academic term.

Faculty members terminated under this section have the same rights as those under “Enrollment or Financial Emergency” or “Financial Exigency.”

### **3.21.2**

#### **Enrollment or Financial Emergency**

In the situation where there is a drop in total full-time student enrollment brought about by outside factors such as market shifts, state or federal student aid policy changes, economic hardship in the market area of the institution, or other similar reasons, the president, after consultation with the chair of the Board of Trustees, may decide that a state of financial or enrollment emergency is in order. To implement such an emergency state, these steps are necessary:

- a. Meet with the Executive Committee of the faculty and with the senior staff and review the data and institutional plan for action;
- b. Give the Executive Committee of the faculty a reasonable time, i.e., ten working days, to respond to the problem and plan, with agreement or constructive alternatives to the plan;

- c. After that consultation, implement the plan using existing faculty and institutional committees where appropriate with procedures and processes outlined in the section called “Separation” of this *Faculty Handbook*.

### **3.21.3**

#### **Financial Exigency**

Financial exigency is a rare and serious institutional crisis. It is defined as the critical, pressing or urgent need of the college to reorder its monetary expenditures in such a way as to remedy and relieve the state of urgency within the college created by its inability to meet its annual monetary expenditures with sufficient revenue to prevent a sustained loss of funds.

Before any faculty are terminated because of financial exigency, the Board of Trustees must determine that the financial exigency exists. Subsequently, the faculty shall be represented in administrative processes relating to program reorganization, or the curtailment or termination of instructional programs due to financial exigency through the Executive Committee of the faculty. Faculty shall not, however, necessarily be represented in individual personnel decisions; the president and the Board of Trustees shall have final authority in all matters related to financial exigency.

### **3.21.4**

#### **Overstaffed Academic Units**

An academic unit is overstaffed when there are not sufficient students to support the number of full-time faculty in the academic unit.

Faculty with two or more years of teaching at Colby-Sawyer College laid off because the academic unit is over-staffed will receive at least one year’s notice from the time of a final decision.

### **3.21.5**

#### **Prolonged Mental or Physical Illness**

In the case of prolonged mental or physical illness, the college in consultation with the individual, or his or her representative, may consider whether the option of a leave of absence or disability status would be appropriate and beneficial to all parties concerned.

Termination of an appointment of any faculty member for medical reasons will be based upon medical evidence acceptable to the college that a faculty member is or will be unable to perform the terms, conditions, and normal duties of the appointment due to medical circumstances, beyond the time limits of the college’s leave programs and the Family and Medical Leave Act. Any such action shall consider and adhere to the requirements of the Americans with Disabilities Act. The decision of whether to grant additional time off will be made on a case-by-case basis.

### **3.21.6**

#### **General Procedures Regarding Layoff**

When financial exigency, enrollment emergency, major change in the curricular requirements, academic programs, or departments in whole or in part, or an over staffed academic unit

necessitates the termination of ranked faculty members, a serious institutional effort will be made to assist such faculty members to find employment either at the college or elsewhere.

If a full-time tenured faculty member is laid off for reasons of financial requirements, enrollment problems or changes in academic programs in whole or in part, no full-time replacement for his or her position will be hired within a period of two years unless the terminated faculty member has been offered reappointment under conditions comparable to those held at the time of layoff, and has been given a least two weeks after written notice of their offer of reappointment within which to accept the reappointment.

It shall be the duty of the laid off faculty member to keep the college informed of his or her current address for purpose of this section, and notice sent to the address by the college shall be presumed received if sent by certified mail, postage prepaid.

### **3.21.7**

#### **Specific Procedures on Layoff**

- a. Faculty layoff shall follow these specific guidelines and procedures. In addition to academic quality, integrity, departmental and college need, persons involved in this decision-making process will consider seniority, gender, and racial composition;
- b. Layoff of specific faculty shall be determined by the academic vice president and dean of faculty in consultation with the Executive Committee of the faculty and the department chairs involved;
- c. In the case of financial exigency and/or enrollment or financial difficulty where short notices and effective action are necessary the following procedure may be followed:

The Executive Committee of the faculty and the academic vice president and dean of faculty may advise the president to hold all contracts and serve immediate notice to untenured faculty on non-renewal of contracts, pending a final decision on the seriousness of a financial situation. The Board of Trustees will be informed prior to any such action.

- d. All tenured faculty will receive one year's notice from the date of their receiving officially the decision of the Board of Trustees. Faculty on annual contracts, or special appointment or term faculty will complete the current academic term if such is in progress on the date of the decision by the Board of Trustees.

### **3.21.8**

#### **Order of Layoff**

Once the department or academic program to be affected has been determined, the decision of layoff/termination of a particular faculty member shall be according to the following guidelines keeping in mind the program integrity and any other guidelines in the section called "General Procedures Regarding Layoff."

- a. Prior to involuntary dismissals, the following voluntary programs should be investigated:
  1. The possibility of voluntary early or phased retirements should be investigated.

2. Tenured faculty who have been laid off could be placed in non-teaching positions at the college if there are openings for which they are qualified.
  3. The college, with its contacts, should attempt to assist displaced tenured faculty to find employment in industry, government, or in other educational institutions.
- b. All administrative ranked faculty (if teaching), part-time per-course adjunct faculty and special appointment faculty should be eliminated with the program or department involved, unless program integrity is considered a major factor;
  - c. With program integrity, and gender and racial composition in mind, the untenured faculty should next be laid off/terminated;
  - d. A faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except in extraordinary circumstances where a decrease in the academic quality and integrity of the program would otherwise result. The decision of extraordinary circumstances will be made by the academic vice president and dean of faculty in consultation with the president, the department chair and the Executive Committee of the faculty.

The academic vice president and dean of faculty shall provide the appropriate committees and involved parties with the official documentation on rank, degrees, and seniority; enrollment; and gender and racial composition.

### **3.21.9**

#### **Appeals on Layoff**

If the administration issues notice to a particular faculty member of an intention to terminate the appointment because of reasons covered by “Enrollment or Financial Emergency,” “Financial Exigency,” and “Overstaffed Academic Units” only, the faculty member shall have the right to a full hearing before the Academic Review Board if the faculty member so requests. The issue before the board shall be confined to procedural issues, including the adequacy of sources of and data used in making the decision.

### **3.22**

#### **Dismissal for Cause**

The college has the right to terminate its contract with any faculty member for cause. Any faculty contract is subject to action under this section. Dismissal for cause may occur at any time, during or at the end of a contract year. Just cause for dismissal must be directly and substantially related to the fitness of a faculty member to continue in his or her professional capacity as a faculty member, and shall be determined in each instance by the president upon the recommendation of the academic vice president and dean of faculty in accordance with procedures outlined below.

### 3.22.1

#### Reasons for Dismissal for Cause

Dismissal for cause will not be used to restrain faculty members' academic freedom or other rights as citizens. In addition to the provisions of "Dismissal for Ineffective Teaching" above, dismissal proceedings may be instituted on the basis of the following grounds:

- a. Teaching and professional incompetence as defined in "Evaluation Criteria for Faculty Performance and Development" of this *Faculty Handbook* deemed so serious that it cannot be remedied under the provisions of "Dismissal for Ineffective Teaching" and "Procedures for Dismissal for Ineffective Teaching."
- b. Continued neglect of academic duties subsequent to oral and written warnings.
- c. Deliberate and serious violation of the rights and freedom of fellow faculty members, administrators, or students.
- d. Conviction of a crime directly related to the faculty member's fitness to practice his or her profession. Being charged with such a crime may be cause for suspending the faculty member's teaching or working on campus pending the outcome of the trial or other disposition of the charge. Non-conviction shall not result in an automatic reversal of the suspension or dismissal.
- e. Serious failure to follow the canons and professional ethics of one's discipline or breach of the AAUP Code of Professional Ethics.
- f. Falsification of credentials and experience;
- g. Failure to follow standards of the institution in respect to guidelines within this *Faculty Handbook* after oral and written warnings.
- h. Other serious personal or professional misconduct.

### 3.22.2

#### Progressive Discipline

Dismissal for cause may be preceded by a written admonition by the academic vice president and dean of faculty describing the alleged problem and warning that the faculty member's contract status is in jeopardy, if the context and timing make such admonition appropriate. The warning may also stipulate a period of time within which correction of the problem is expected. If the faculty member does not contest the allegation and fulfills his or her duties so as to correct the problem, the matter is settled. If the faculty member fails to correct the problem, dismissal procedures or a lesser sanction may be applied.

After review of the entire record, complaint, and faculty member's service at the college, final action by the president may be less than dismissal, and may include suspension for a period set by the president in the president's discretion, up to the period of one year. Suspension may include discontinuance of salary and benefits, in whole or in part, suspension of promotion and salary increments, and suspension of all or some faculty privileges.

### **3.22.3**

#### **Dismissal for Ineffective Teaching**

The paramount responsibility of each faculty member is teaching, and advising is a corollary to this responsibility. All faculty members are expected to demonstrate excellence in teaching and advising, as described in the sections called “Teaching Effectiveness” and “Advising.”

Dismissal for ineffective teaching is a severance action for cause by which the college terminates its contract with the faculty member for ineffective teaching. Any teaching contract is subject to this section, except that non-reappointment of a faculty member under “Non-Reappointment, unfavorable reviews” shall not require the elements contained in this section nor the procedures contained in the section “Procedures for Dismissal for Ineffective Teaching” and the provisions of the section “Non-Reappointment” shall be the exclusive procedures available concerning actions taken under that section. Just cause for dismissal for Ineffective Teaching must be directly and substantially related to the fitness of the faculty member to continue in his or her professional capacities as a faculty member, and shall be determined in each instance by the academic vice president and dean of faculty in accordance with procedures outlined below in “Procedures for Dismissal for Ineffective Teaching.”

Dismissal under this section must not be used to restrain faculty members’ academic freedom or other rights as citizens.

#### **3.22.3.1**

##### **Procedures for Dismissal for Ineffective Teaching**

In every instance of action under “Dismissal for Ineffective Teaching,” dismissal procedures will include the following steps.

- a. If there are indications of weakening performance, faculty members will begin to work immediately with the department chair and academic vice president and dean of faculty to prepare a plan for improvement. Support from the college will be provided, and the period of time for demonstrating improvement will last for one full academic year;
- b. If however, performance continues to be unsatisfactory, the academic vice president and dean of faculty will make a decision on appropriate action after consultation with the department chair or, in the case of review of a department chair, after consultation with department faculty and the appropriate department chair.

#### **3.22.4**

##### **Dismissal Procedures**

In every instance, dismissal procedures will include the following steps:

- a. Written notice to the faculty member from the academic vice president and dean of faculty that a recommendation for dismissal for cause shall be made to the president. This notice shall contain a written statement of the grounds upon which the recommendation is to be made, and a brief summary of information supporting such grounds;

- b. An opportunity for the faculty member to meet with the academic vice president and dean of faculty to present his or her defense to the dismissal recommendation before the recommendation is made;
- c. An opportunity for the faculty member to meet with the president to present his or her defense to the dismissal recommendation.

In any case involving dismissal for cause, the burden of proof that just cause exists shall be on the college, which proof shall be by clear and convincing evidence in the record considered as a whole.

The decision of the president may be the basis of a grievance before the Academic Review Board, which shall review the case and make a recommendation to the president in accordance with procedures established in the section called “Faculty Grievance Procedure” in this *Faculty Handbook*.

### **3.22.5**

#### **Action Short of Dismissal**

Depending on the circumstances, the president may accept, reject, or elect to impose a lesser action short of dismissal. The Faculty Personnel Committee and academic vice president and dean of faculty and such other consultants as the president may decide, may serve as advisors to the president on all dismissal matters. In unusual circumstances, the president may take disciplinary action without previous citation or warning. The president’s decision after such a review shall be final.

### **3.23**

#### **Faculty Grievance Procedure**

#### **3.23.1**

##### **Intent**

The college recognizes and endorses the importance of academic due process and of resolving grievances properly without fear of prejudice or reprisal. Accordingly the college encourages the informal and prompt settlement of grievances, as defined below. It is the intent of the college that these processes be the sole method for the resolution of all grievances.

When a faculty member has filed a complaint with an outside agency (including a court) arising out of a set of facts, the Academic Review Board will not hear a complaint grounded on the same set of facts, regardless of the disposition by that agency of the complaint. If a faculty member files a complaint with an outside agency after initiating a grievance under this procedure, the grievance automatically will be suspended pending resolution of the outside complaint. Upon resolution of the outside complaint, those portions of the grievance that are outside the purview of the external agency, or that have not been decided or dismissed for a substantive reason by the agency, may resume and be heard and decided as if the suspension had not occurred. It is the responsibility of the grievant to report the resolution to the academic vice president and dean of faculty and request the grievance be resumed. The decision of the outside agency will not be made known to the Academic Review Board unless the grievant chooses to do so.



### **3.23.2**

#### **Definition**

A grievance (“grievance”) is defined as an allegation by one or more faculty members that there has been: a) a claimed breach, misinterpretation, or misapplication of the terms of college policy or procedure as set forth in the *Faculty Handbook* or; b) a claimed infringement of the rights of a faculty member, as set forth in the *Faculty Handbook*, which relate to appointment, reappointment, tenure, promotion, dismissal, suspension, reassignment, or termination.

### **3.23.3**

#### **Eligibility**

The ranked full-time and pro rata faculty (which does not include adjunct faculty or staff with teaching responsibilities) are eligible to use the grievance procedure set forth herein.

### **3.23.4**

#### **Timeliness**

A grievance is timely only if filed within 30 days of the action complained of.

### **3.23.5**

#### **Procedure**

In order to initiate a grievance, a faculty member (“grievant”) must prepare and file with the senior Human Resources official or designee, within the applicable time limit, a Statement of Grievance setting forth in detail at least the following information:

- a. Name, department, date of appointment, faculty rank, and contact information of grievant;
- b. Narrative statement of factual allegations, including specific dates of actions complained of and identification of all knowledgeable persons;
- c. A statement of the basis on which the factual allegations, if proven, constitute either
  1. a breach, misinterpretation, or misapplication of the terms of college policy or procedure as set forth in the *Faculty Handbook* or,
  2. an infringement of the rights of a faculty member, as set forth in the *Faculty Handbook*, which relate to appointment, reappointment, tenure, promotion, dismissal, suspension, reassignment, or termination.
- d. All documentary evidence supporting the faculty member’s position in the grievance; and
- e. A clear and specific statement of the relief sought.

The senior Human Resources official or designee shall, within two working days, notify and provide all grievance materials to the grievance coordinator, who is the associate dean of students or designee (who serves as a non-voting and non-participating member of the review panel). The grievance coordinator then notifies, and provides copies of all grievance materials to all those grieved and to the academic vice president and dean of the faculty. Routinely, the academic dean will serve as the college representative with respect to the grievance, unless a

conflict of interest exists. If any individual noted in this procedure is the subject of the grievance or has a conflict of interest, the president shall appoint an alternate.

Upon receipt of a grievance, the grievance coordinator will empanel a five-member panel of the Academic Review Board to consider the grievance, and will notify the grievant, those grieved, the college representative, and the academic vice president and dean of the faculty of the membership of the panel. Such panel will be made up of the three regular tenured members of the board (or, if a regular member is unable to serve, one or more alternates) and the two regular untenured members of the board (or, if a regular member is unable to serve, one or more alternates). The tenured chair of the Academic Review Board will chair the grievance panel, unless he or she has a conflict of interest. If such a conflict exists, the grievance coordinator will appoint by lot another tenured member of the Academic Review Board to serve as chair.

Each member of a panel is responsible for determining whether he or she has a conflict of interest or is unable to decide the matter of the grievance. A panel member who has a conflict of interest shall decline to participate in such grievance as a panel member. The grievant or the college representative may, within three days of notice of the composition of a panel, object to the service of one or more panel members by providing to the coordinator a written statement of the basis for objection. The coordinator will promptly forward to all panel members the statement of challenge, any challenged member shall notify the coordinator whether he or she will step down, and, in the event any challenged member does not step down, he or she shall serve provided a majority of the non-challenged members votes in favor of his or her service on the panel. The coordinator will fill any vacated seat on the panel by lot, from those potential members from the same category of faculty represented by the disqualified member.

Once membership of the review panel is established, the coordinator provides copies of all grievance materials to the panel members and the college representative.

A grievant may be assisted in the grievance process by an advisor who is a member of the faculty or staff. A grievant and the college may each, at their own respective expense, retain counsel to assist in the grievance process but not represent the assisted party at the hearings. The Academic Review Board panel may request advice from college counsel or may request that the senior Human Resources official or designee appoint independent counsel for the panel; if such request is granted, the expense of such counsel shall be borne by the college.

Once a Statement of Grievance is filed, the faculty grievance procedure is comprised of up to four steps:

- a. Preliminary Review;
- b. Grievance Hearing and Recommended Action;
- c. Presidential Action, if the president is not named in the Grievance; and
- d. Discretionary Appeal to Board of Trustees.

### **3.23.5.1**

#### **Preliminary Review**

Upon receipt of a Statement of Grievance and composition of a panel by the coordinator, the Academic Review Board panel shall conduct a preliminary review to determine whether it will hear the grievance. Preliminary review is not intended to determine whether a particular grievance has merit, but rather whether, if the grievant were able to prove his or her allegations, he or she might be entitled to relief. Grounds for declining to hear a grievance include: lack of subject matter jurisdiction; failure to identify a cognizable grievance; untimeliness; inadequate Statement of Grievance; similarity to prior grievance; pending outside proceeding.

In conducting its preliminary review, the Academic Review Board panel may meet with the grievant and may obtain information from any source and in any manner it determines to be necessary or useful in reaching a decision.

The Academic Review Board panel will issue a decision on whether it will hear a grievance within thirty days of the filing of a Statement of Grievance with the coordinator. If the Academic Review Board panel determines on the basis of its preliminary review that it will not hear a grievance, it will dismiss the grievance and so inform the grievant, those grieved, the college representative, and the academic vice president and dean of the faculty in writing, providing a brief explanation for its dismissal. Dismissal of a grievance is not appealable, and cannot serve as the basis for a grievance. If the Academic Review Board determines that it will hear a grievance, it will so inform the grievant, those grieved, the college representative, and the academic vice president and dean of the faculty and proceed to Grievance Hearing and Recommended Action.

### **3.23.5.2**

#### **Grievance Hearing and Recommended Action**

Once an Academic Review Board panel has determined to hear a grievance, its chair will meet with the grievant and college representative on procedural matters and obtain input from them regarding schedule, information and documents needed, witnesses, issues for decision, and similar issues. The chair shall have power to set hearing dates and deadlines for submissions, and to make all procedural rulings, including rulings in advance of the hearing or at the hearing on relevance and admissibility of evidence, including witness testimony. This evidence may include portfolios of other faculty members, with their permission. Only the required elements of the portfolios, including departmental letters, chair letters, the Faculty Personnel Committee recommendation, and the response from the academic vice president and dean of the faculty shall be shared with the grievance panel. In particular, letters of support from colleagues outside of Colby-Sawyer College shall be removed from the portfolio before it is examined by the grievance panel. If the review committee is asked to examine portfolios of other faculty, a placeholder describing the removed item, without personal identifiers, shall be inserted.

The chair shall notify the grievant, those grieved, the college representative, and the academic vice president and dean of the faculty of these procedural decisions. The chair may require advance submission of proposed exhibits and identification of witnesses (with proposed areas of testimony) from the grievant and college representative. Any witness called to appear before the review panel and who is not named in the grievance shall be notified in advance of the hearing as

to the line of questioning to expect. The coordinator will provide such assistance as may be requested by the chair.

The panel shall have the power, through the chair, to request submission of information, or appearance at a hearing, from any individual. The hearing procedure is informal. Formal rules of evidence do not apply. The chair, with the advice of the panel, will determine the schedule, order, and manner of proceeding, including ruling on admissibility of testimony, manner of examining and cross-examining witnesses, and duration of hearings. Additional information may be admitted during the hearing at the discretion of the review panel. The panel will arrange for audio or video recording of the proceedings, and make available copies of such recordings to the panel itself, the grievant, and the college representative, who may, at their own respective expense, have them transcribed. A grievant may request that a hearing shall be open to the members of the college community. In the absence of such a request, a hearing shall be closed to all but the participants.

A grievant has the burden of proving by a preponderance of the evidence all necessary elements of his or her grievance. After hearing the evidence, the panel shall close the hearing and engage in private deliberations. The panel will prepare a written proposed decision and provide such decision (and any supporting materials it wishes to include) to the grievant, those grieved, the college representative, the academic vice president and dean of the faculty, and the president.

### **3.23.5.3**

#### **Presidential Review**

Within ten days of the issuance of the panel's proposed decision, the grievant and college representative may each provide to the president, with a copy to the other, a statement in support of or in opposition to the proposed decision. Upon receipt of the proposed decision, the president may request from the panel, the grievant, the college representative, or any other individual, any additional information he or she desires. The president shall issue a final decision adopting, rejecting, modifying, or remanding the proposed decision. If the president is named in the grievance, the Presidential Review is waived and the decision of the review panel is binding, unless the grievant or the college representative appeals the decision to the Board of Trustees.

### **3.23.5.4**

#### **Discretionary Appeal to the Board of Trustees**

Within ten business days after the issuance of the final decision, the grievant and/or college representative may provide to the chairman of the Board of Trustees, through the secretary of the college, an appeal of the decision. The chairman of the Board of Trustees, in consultation with the Board of Trustees Executive Committee, shall consider whether to accept the appeal or decline, in which case the decision of the president shall be final. In the event the appeal is accepted the Board of Trustees Executive Committee, or a sub-committee appointed by the chairman comprised of at least three trustees, shall receive written statements and such material as the party appealing the decision chooses to submit based on a schedule determined by the committee. The other party shall be provided a copy of such material and provided an opportunity to submit such written materials as that party wishes to submit, based on the schedule determined by the committee. The committee also shall have available the entire record of the grievance for review. After review of the written materials, the committee shall either:

- a. render a decision based on the written materials; or,
- b. schedule a hearing on the matter at which the parties may present arguments in support or opposition to the appeal.

The committee shall determine the rules of the hearing, if granted. The committee shall report its recommendations to the full Board of Trustees which shall consider the recommendation and may:

- a. uphold the decision and deny the appeal;
- b. uphold the appeal and reverse or amend the decision; or
- c. return the matter to the review panel for further findings or clarification of the initial decision.

If the Board of Trustees accepts an appeal, the decision shall be final.

### **3.24**

#### **Faculty Development: Professional Growth and Development**

Faculty are responsible for keeping current in both the scholarship and the pedagogy of their field(s) and related areas. The faculty's continuous growth and development helps sustain their vitality which should be apparent in the content and quality of their teaching and scholarship. Moreover, faculty who are aware of new developments in their area are better able to assist their colleagues in curriculum development and improvement.

The principal obligation to recommend and guide faculty development plans and programs belongs to the academic vice president and dean of faculty in consultation with the chairs of each department, and the Committee for Faculty Development and Research.

Faculty development programs include: teaching improvement activities; research; formal or informal study; publication; consulting; travel; leaves of absence; sabbaticals; grants for faculty research; participation in conferences and institutes; and such other activities as may be reasonably expected to assist faculty growth and development. Faculty development programs are considered in reviews for tenure and evaluations of faculty performance.

#### **3.24.1**

##### **Sabbatical Leave**

Sabbatical leaves may be granted to eligible faculty for the purpose of undertaking activities that contribute to teaching effectiveness and professional enhancement through research, creative work, study, or service that they would not be able to do in the course of their usual college responsibilities. Examples of activities could include but are not limited to: scholarly research, creative projects, professional service, post-doctoral studies, curricular development, pedagogical innovations, field-related work experience, and grant writing. A sabbatical leave is intended to support a faculty member's need to be refreshed intellectually and creatively. However, there is also the expectation that the college will benefit from the fruits of the leave.

### **3.24.1.1**

#### **Eligibility**

Full-time tenured faculty members are eligible to apply for their first sabbatical leave during their seventh year of full-time service (after six complete years) at Colby-Sawyer College. Future applications may be submitted during the sixth year of full-time service at Colby-Sawyer subsequent to the previous sabbatical leave.

Tenured pro rata faculty members are eligible to apply for their first sabbatical leave when they have completed the equivalent of six years of full-time service at Colby-Sawyer College. Applications for future sabbatical leaves may be made during the equivalent of the sixth year of full-time service at Colby-Sawyer.

Leaves of absence normally will not be counted toward the years of service for a sabbatical leave.

### **3.24.1.2**

#### **Number of Leaves**

The number of sabbatical leaves granted during a single academic year is determined in light of the general welfare of the college. Normally, the college will grant no more than seven members of the full-time and pro rata faculty a sabbatical in any given academic year with no more than one full-year sabbatical. These will be distributed so that no more than four faculty would be on sabbatical in any given semester. Normally, only one sabbatical leave per discipline or two per department will be granted in an academic year.

### **3.24.1.3**

#### **Stipend for Sabbatical Leaves**

Stipends for sabbatical leaves are: one academic year at one-half salary or one semester at full-salary. In addition, all sabbatical leave recipients may apply for regular faculty development funds.

Benefits remain in effect during the sabbatical leave. TIAA/CREF contributions are made on the basis of the faculty member's sabbatical leave pay.

The acceptance of paid leave does not preclude acceptance of grants or other funds to cover additional expenses. Indeed, the receipt of outside assistance may enable a faculty member to take a full-year's sabbatical leave since such assistance may compensate for the reduced salary.

### **3.24.1.4**

#### **Criteria**

Sabbatical leaves are not granted automatically upon the completion of the necessary period of service. The faculty member must demonstrate in writing, as part of the application, evidence of sound research, creative activity, or other academic pursuits to support the program or work which is planned for the sabbatical leave period.

All complete applications will be evaluated according to the purpose and goals of the sabbatical leave as well as the completion of the application according to the guidelines stated in this

document. Applications will be rated by the committee on each of the following criteria using a 5-point scale, from “very weak” to “very strong,” based on the quality of the description and explanation, as well as supporting evidence (e.g., letters of support from department, collaborating colleagues, summary reports for previous sabbaticals, and/or course release time) provided for each of the equally weighted criteria:

- a. Clarity of goals: The sabbatical application must clearly describe the goals of the intended sabbatical, the activities necessary to achieve those goals, and the connection to the applicant’s field of study. While the description may be discipline-specific, those in other academic disciplines should be able to understand the goals and the significance of the project.
- b. Feasibility of project: The sabbatical application shall clearly describe how the proposed sabbatical project will be carried out and explain why the goals of the project cannot be achieved without a sabbatical leave. Evidence for this should include, but is not limited to, an anticipated timeline for the sabbatical, letters of support from collaborating colleagues and/or organizations, and summary reports from completed sabbaticals, reassigned time, or release time projects.
- c. Contribution to college: The sabbatical application shall clearly describe how the proposed sabbatical project contributes to the college’s community, regional, or national reputation and/or the institution’s academic status, image or reputation. Evidence for this should include letters of support from the department and/or collaborating colleagues.
- d. Contribution to department and/or students: The sabbatical application shall clearly describe how the proposed sabbatical project contributes to the advising, instruction, or mentoring of students. Evidence for this should include letters of support from the department and/or collaborating colleagues.
- e. Contribution to the profession: The sabbatical application shall clearly describe how the proposed sabbatical project contributes to the applicant’s profession or field of study, as well as the significance of the project to the applicant’s discipline. Evidence for this can include, but is not limited to, letters of support from collaborating colleagues and/or organizations as well as a demonstration of past contributions to the discipline such as conference presentations and publications.
- f. Professional growth: The sabbatical application shall clearly demonstrate how the leave promotes the applicant’s pursuit of scholarly or creative endeavors, enhances teaching skills, or allows for the acquisition of new competencies, skills or knowledge. The sabbatical application shall explain how the leave contributes to the applicant’s professional growth, beyond contributions to the college, department, and students.
- g. Assessment: The sabbatical application shall clearly demonstrate how the applicant intends to assess how the goals of their project have been met. This must include a presentation of work completed to the Colby-Sawyer College community and can also include, but is not limited to, evidence that the project has been peer-reviewed.

The Committee for Faculty Development and Research will submit its recommendations to the president with a copy to the academic vice president and dean of faculty. The academic vice president and dean of faculty will also make recommendations and submit them to the president.

The president will make the final decision and candidates will be informed by February 1. Sabbatical applicants may request feedback on the committee's ratings from the chair of the Committee for Faculty Development and Research, but must do so no later than March 1.

### **3.24.1.5**

#### **Application Procedures**

Completed applications are submitted to the chair of the Committee for Faculty Development and Research with copies to the academic vice president and dean of faculty by October 15 of the academic year preceding the period of the proposed leave. Only those applications which are complete and have been submitted on time will be considered. It is the responsibility solely of the applicant to ensure that all required materials are submitted on time to both the chair of the Committee for Faculty Development and Research and the academic vice president and dean of faculty.

The Committee for Faculty Development and Research will facilitate the application process by:

- a. making available previous successful sabbatical leave proposals and summary reports to all applicants;
- b. facilitating a meeting every spring semester in order to answer any questions regarding the process as well as to monitor the application process for the following year; and
- c. meeting individually prior to the application date with each sabbatical leave applicant who has provided a draft of his or her proposal to the committee by September 15. The goal of the meeting will be to assist the applicant in the development of the proposal.

The applicant is required to provide a completed Sabbatical Application Form, updated current resume, detailed narrative which addresses the criteria outlined in the previous section, and any supporting evidence.

The applicant is required to:

- a. consult with the department chair in a timely manner to ensure that there is ample opportunity to explore how teaching, advising, and committee and departmental responsibilities will be covered during the anticipated sabbatical leave;
- b. share the sabbatical leave proposal with the department chair and department colleagues; and request documentation that the department approves of the sabbatical leave, has considered its implications for staffing, and is confident of its relevance to the mission of the department as well as to that of the college. The department chooses a faculty member other than the chair to write a letter reflecting the departmental views. The letter is signed by all members of the department who attended the meeting indicating that the letter accurately reflects department discussion. If the chair can provide additional information relating to the impact of the proposed sabbatical on the department, the chair may submit an additional letter. The letter(s) should be addressed to the academic vice president and dean of faculty and is (are) required to be included in the application.

### **3.24.1.6**

#### **Obligations of Sabbatical Leave Recipients**

The recipient of a sabbatical leave incurs these obligations:

- a. Make every reasonable effort to fulfill the terms of the sabbatical leave.



- b. Seek approval for any substantial changes from the sabbatical leave proposal from the academic vice president and dean of faculty when the information becomes known.
- c. Seek approval for any changes from the funding request from the academic vice president and dean of faculty when the information becomes known.
- d. File a summary report on the results of the project with the department chair, chair of the Committee for Faculty Development and Research, and academic vice president and dean of faculty within ninety days after the beginning of the semester following the sabbatical leave.
- e. Provide an oral report to the faculty if requested by the Committee for Faculty Development and Research or academic vice president and dean of faculty.
- f. Provide an oral report to the department and interested students if requested by the chair of the department or academic vice president and dean of faculty.

Granting of a sabbatical leave is conditional upon the return to full-time responsibilities for at least one academic year after the leave. Failure to return will require the reimbursement of the sabbatical leave salary to the college.

### **3.24.1.7**

#### **Deferring Sabbatical Leave**

Sometimes approved sabbatical projects are not taken. What becomes of these projects depends on why they were not taken.

- a. **Petitioned Deferral:** When major life events (as defined the section entitled “Extending the Tenure Review Period,”) or unforeseen circumstances prevent a faculty member from taking leave to complete a sabbatical project that has been approved by the president, the faculty member may apply to defer that sabbatical leave for one year. As soon as possible, the applicant will petition the president for said deferral; within two weeks of the receipt of this petition, the president will notify the applicant of his or her decision. If the petition is granted, the project retains its approved status for one academic year, and is given priority for stipend funding in that extension year. After that year, however, no special consideration is given.
- b. **Deferral with Re-ranking:** When a faculty member declines, for any other reason, the terms of sabbatical leave offered by the college in response to his or her sabbatical project proposal, the project may, at the applicant’s request, be included in the ranked list of project proposals submitted the following year to the president by the Committee on Faculty Development and Research. After that extension year, however, no special consideration is given.
- c. **Deferral Due to College Resource Constraints:** When resource constraints preclude the college from supporting an approved sabbatical leave, that project retains its approved status for one academic year, and is given priority for stipend funding in that extension year. After that year, however, no special consideration is given.

Applicants who seek to take sabbatical leave that has been deferred for any of these reasons should, in the extension year, submit the following materials:

- a. the data sheet described in the application procedures;
- b. a brief report stating the continued feasibility of the project and/or a statement detailing any changes to the originally proposed project; and
- c. a statement from the department chair updating the staffing implications for the department.

This documentation should be submitted to the chair of the Committee for Faculty Development and Research with copies to the academic vice president and dean of faculty by October 15 of the academic year preceding the period of the proposed leave.

### **3.24.2**

#### **Course Release Time**

##### **3.24.2.1 Eligibility**

Full-time faculty may apply for course release from teaching one course (3-4 credits) to work on scholarly research and writing, creative projects, or service projects. The project may be student-oriented in nature, and/or include service to the community, profession, or to the college.

##### **3.24.2.2 Criteria**

Release time is not granted automatically. Proposals will be rated on each of the following criteria based on the quality of the description and explanation provided. The proposals must include, and will be reviewed based upon, the following criteria:

- a. A concise statement of clear goals, objectives, and outcomes;
- b. A description of the activities necessary to achieve the goals and objectives;
- c. A workable timetable;
- d. A statement of how the release will contribute to professional growth;
- e. The project's contribution to the field, students, department, and/or college; and
- f. How the work will be used (publication, exhibition, curricular material, other).

##### **3.24.2.3 Application Procedures**

Faculty members will present their application form and written narrative (no more than a two page narrative addressing the established criteria) to the department chair by November 1 (for Fall course release) or April 1 (for Spring course release) of the academic year preceding that in which the intended release time will occur. The department chair will forward the application along with a recommendation to the Committee for Faculty Development and Research, and the academic vice president and dean of faculty by November 15 for Fall course release applications or April 15 for Spring course release applications. The committee makes its recommendations to the academic vice president and dean of faculty, who will notify the applicant of the decision

within 30 days of the submission of the application. The faculty member may also apply for faculty development funds to support his or her project.

#### **3.24.2.4 Obligations of the Recipient**

The faculty member will submit a brief one-page summary report to the Chair of Committee for Faculty Development and Research, department chair, and academic vice president and dean of faculty, demonstrating how the objectives were achieved. Additional evidence may also be included, but is not limited to such items as publications, course materials, preliminary results, or certification of work completed. The summary report must be submitted by October 15 (for spring course releases), and February 15 (for fall course releases). Faculty should also present their projects to a broader campus and/or professional audience and/or for the Teaching Enrichment Center.

#### **3.24.2.5 Number of Course Releases for Projects**

The overall number of course releases granted for projects will be determined by the academic vice president and dean of faculty in light of the general welfare of the college. Normally, the college will grant no more than six faculty course releases annually. Preference will be given to faculty who have not received a course release within the last four years and faculty who have fully accomplished the goals of previous release or sabbatical leave projects. Course releases may not be taken during the same year as a sabbatical, in a phased retirement year, nor in the final year of teaching at Colby-Sawyer College. Preference will be given to applications for the spring semester of the academic year.

### **3.24.3**

#### **Faculty Development Funds**

- a. Faculty development funds are designed to provide full-time and pro rata faculty members with financial assistance to supplement their personal contribution and monies awarded by the college and, where applicable, by external sources in support of the individual's professional development;
- b. Application for such funding is made to the academic vice president and dean of faculty according to published procedures;
- c. All faculty are encouraged to be active, participating, and contributing members of at least one professional organization. The use of faculty development funds to support travel to professional meetings must be approved in advance by the academic vice president and dean of faculty.

### **3.24.4**

#### **Faculty Enrollment in Colby-Sawyer Courses**

Full-time ranked faculty may enroll in up to two courses in any given semester at the college tuition free. Processing fees may apply.